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THE LITERATURE PROGRAM OF THE NEBRASKA ENGLISH CURRICULUM FOR GRADE EIGHT IS CONCERNED WITH THE THEME OF THE HERO--HIS CHARACTERISTICS AND HOW THEY HAVE UNDERGONE CHANGE IN THE HISTORY OF WESTERN LITERATURE, AS SEEN IN VARIOUS LITERARY GENRES. THE STUDY OF HEROISM IS DIVIDED INTO THE FOLLOWING UNITS--(1) "THE MAKING OF HEROES," (2) "THE EPIC HERO," (3) "THE JOURNEY NOVEL HERO," (4) "THE HISTORICAL NOVEL HERO," AND (5) "THE HERITAGE OF THE FRONTIER." LANGUAGE UNITS ARE (1) "SYNTAX," USING AS BACKGROUND THE SEVENTH-GRADE UNIT ON FORM CLASSES, (2) "WORDS AND THEIR MEANINGS," AND (3) "THE HISTORY OF THE ENGLISH LANGUAGE." THE COMPOSITION PROGRAM IS COORDINATED WITH BOTH LANGUAGE AND LITERATURE PROGRAMS, AND STRESSES THE COMPARISON OF THE STUDENTS' OWN SYNTAX IN THEMES WITH THAT OF SUCH AUTHORS AS JOHN STEINBECK AND STEPHEN CRANE. INCLUDED IN THE PACKET ARE INTRODUCTIONS AND SUGGESTED TEACHING PROCEDURES FOR UNIT MATERIALS, BIBLIOGRAPHIES FOR TEACHERS, BACKGROUND CRITICAL ASSESSMENTS OF LITERARY WORKS TO BE TAUGHT, SUGGESTED TOPICS FOR STUDENT COMPOSITIONS, AND SUPPLEMENTARY STUDENT READING LISTS. THIS MANUAL IS AVAILABLE FROM THE UNIVERSITY OF NEBRASKA CURRICULUM CENTER, 231 ANDREWS HALL, LINCOLN, NEBRASKA 68508. THE RELATED STUDENT PACKET FOR GRADE EIGHT IS TE 000 062. (DL)

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A CURRICULUM FOR ENGLISH

Teacher Packet

INTRODUCTION TO THE UNITS

Grade 8

TE000 061

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Nebraska Curriculum Development Center

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THE EIGHTH GRADE UNITS

RECOMMENDED SCHEDULE

Unit	Title	Approximate Time Required	
I.	"The Making of Heroes: The Noble Man in Western Culture:	Eight to nine weeks	8
II.	"Syntax"	Six weeks	6
III.	"Words and Their Meanings"	Three weeks	3
	Semester		17
IV.	"The Epic Hero: Beowulf and the Song of Roland	Four weeks	4
V.	"The Journey Novel Hero"	Four weeks	4
VI.	"The Historical Novel Hero"	Four weeks	4
VII.	"The Heritage of the Frontier"	Four weeks	4
			16 weeks

ALTERNATE PLAN

I.	"The Making of Heroes: The Noble Man in Western Culture"	Eight weeks	8
II.	"Syntax" Part I	Two weeks	2
III.	"Words and Their Meanings"	Three weeks	3
IV.	"The Epic Hero: Beowulf and the Song of Roland"	Four weeks	4
			17 weeks
	Semester		
V.	"Syntax" Part II	Four weeks	4
VI.	"The Journey Novel Hero"	Four weeks	4
VII.	"The Historical Novel Hero"	Four weeks	4
VIII.	"The Heritage of the Frontier"	Four weeks	4
			16 weeks

CORE TEXTS

NOTE: All supplementary texts, which are listed in the individual packets, should be made available in the school library. Where alternative core texts are listed, see the unit for the particular merits and difficulties of teaching each alternate.

I. "The Making of Heroes: The Noble Man in Western Culture"

Roger Goodman (ed.), 75 Short Masterpieces (New York: Bantam Books, Inc. (60¢) Students who participated in the Curriculum last year already own copies of this text.

Top Level Students:

Stephen Crane, The Red Badge of Courage (New York: Dell Publishing Co. (50¢)

Ernest Hemingway, The Old Man and The Sea (New York: Scribner's. ($1.60)

Anne Frank, The Diary of a Young Girl (New York: Pocket Books, Inc. (50¢)

Pierre Boulle, The Bridge Over the River Kwai (New York: Bantam Books, Inc. ¢)

Harper Lee, To Kill a Mockingbird (Popular) (60¢)

Average Students:

Use same titles as are given for top level students except for The Red Badge of Courage substitute

Marjorie Rawlings, The Yearling (New York: Scribner's) ($1.45) OR

Booker T. Washington, Up from Slavery (New York: Bantam Books, Inc. (50¢)

Below Reading Level Students:

Marjorie Rawlings, The Yearling (New York: Scribner's). ($1.45)

Anthony Hope, The Prisoner of Zenda (Pyramid). (35¢)

Robert Scott, God Is My Co-Pilot (Ballantine). (35¢)

Ernest Hemingway, The Old Man and The Sea (New York: Scribner's). ($1.60)

II. "Syntax"

None. Materials are included in the Student Packet.

III. "Words and Their Meanings"

None. Materials are included in the Teacher and Student Packets.

IV. "The Epic Hero: *Beowulf* and *The Song of Roland*"

Top Level Students:

Burton Raffel (trans), *Beowulf* (Mentor). (.60¢)

Dorothy Sayers (trans.) *The Song of Roland* (Penguin) (85¢) OR

Frederick Luqiens (ed.) *The Song of Roland* (New York: Macmillan). (95¢)

Average students:

Goodrich, *The Medieval Myths* (New York: Mentor). (50¢)

V. "The Journey Novel Hero: The Picaro"

Top Level Students:

Charles Dickens, *The Pickwick Papers* (New York: Washington Square Press) (90¢)

Top Level and Average Students:

Alain-Rene LeSage, *Gil Blas* (abridged) (Fawcett) (90¢)

Miguel Cervantes, *Don Quixote* (abridged) (New York: Mentor) (60¢)

All Students:

Harriet DeOnis (tr.) *Lazarillo de Tormes* (Barron) (75¢)

T. H. White, *The Once and Future King* (Dell) (95¢)

VI. "The Historical Novel Hero"

Top Level Students:

Charles Dickens, *The Tale of Two Cities* (New York: Washington Square Press) (45¢) OR

Tolstoy (ed. Ernest J. Simmons), *War and Peace* (New York: Washington Square Press) (60¢)

Average and below average students:

Esther Forbes, *Johnny Tremain* (School Edition) (New York: Houghton-Mifflin Co., 1943) ($1.60) OR

C. S. Forester, *Captain from Connecticut* (Bantam) (.50¢)

VII. "The Heritage of the Frontier"

One of the following:

Francis Parkman, The Oregon Trail (Signet). (50¢)
Hamlin Garland, A Son of the Middle Border (New York: Macmillan) ($2.25)
Mark Twain, Roughing It (New York: Holt). (95¢)
John Steinbeck, The Red Pony (New York: Bantam). (40¢)
Carl Sandburg, Prairie Town Boy (New York: Harcourt, Brace) ($2.25)

DESCRIPTION OF UNITS

I. Literature

The eighth-grade literature units are concerned with the theme of the hero. The first unit, "The Making of Heroes: The Noble Man in Western Culture," emphasizes three traits of character which have been associated with heroes throughout the history of Western literature: courage, justice, and control (a combination of the classic virtues of prudence and temperance). Considerable care has been taken to avoid the oversimplification and stereotyping which can easily result from setting up such criteria. An important objective throughout the year is to help students to recognize the individuality, stature, and (usually) complexity of the heroes studied and to contrast such men with the stereotyped hero-substitutes with whom they are familiar through television, movies, magazines, etc. The first unit is largely concerned with how heroic virtues are displayed in literature and how they are related to the culture to which the hero belongs. There are three core books, each concerned primarily with one of the three selected qualities. The texts are tracked for accelerated, average, and below-average students. Alternative selections are available for the first two groups. Before selecting the books most suitable to his class, the teacher should carefully examine the entire teacher and student packets. As is true of all the literature units, the time required for presentation will vary according to the texts selected, compositions assigned, supplementary reading done by students, and abilities of the class.

The unit on the journey novel introduces a type of hero which has been called unheroic. He is characterized more by sheer vitality than by fortitude; he is usually less concerned with being the just man than with meting out a rough and ready justice to his society, which is always guilty of injustice; and his self-control is often the result of the pressures of external forces. The genre is characterized by an episodic plot in which a journey (physical, psychological, or social) presents challenges to the hero which serve as much to define social evils as to define picaresque virtue. The epic journey primarily presents heroic excellence; to Odysseus and Ulysses the social order is not evil, as they are privileged members of it. The picaro is their poor relation--his roguery is largely due to the mistreatment he has received, and although he may be disreputable, he is, like many socially unacceptable people, interesting, highly individualistic, and amusing. Lazarillo de Tormes is to be read by all students. It, Don Quixote, and Gil Blas are picaresque novels. The other alternative texts are members of the broader classification, journey novels. Again, the unit should be carefully examined before the teacher chooses the text best suited to his class.

The historical novel hero is related to the epic hero in that he is a character whose life is set in a time previous to the writer's life and who participates in great events; however, he neither dominates nor makes history as does the epic hero. "The Heritage of the Frontier" differs from the previous units because it does not deal with heroes. It deals with the kind of society in which they are created--it represents the materials of the heroic narrative without the central character. Five books are suggested for this unit, but only one is read as a core text, offering the teacher a wide field of choice. The effectiveness of the unit depends to a great extent upon the assigned readings on the subjects of exploration and frontiers. The teacher will want to examine the procedures outlined in the unit with particular care.

Each of the described units can be taught in approximately four weeks, and combined, they make up all or part of the second semester work, depending upon the plan of teaching used. A few weeks of the school year have been left open in the time allotment suggestions to permit expansion of the units with compositions, spelling, language study, and testing, and to cover any unexpected scheduling problems which may appear.

II. Language

The "Syntax" unit provides the major language content for the eighth grade. Syntax is the arrangement of words as elements of a sentence; the unit teaches the basic sentence patterns and shows how such patterns are transformed, expanded, coordinated, and subordinated. The unit is introduced with a review of form classes. (See seventh-grade unit, "Form Classes," for additional information.) Syntax is taught by the inductive method. The teacher packet contains questions for the teacher and indicates the type of answer expected to lead students toward recognition of the basic sentence patterns. In the student packet, sentences for practice and exercises are included; thus the unit is self-contained--no text is required, but Discovering Your Language by Postman, Morine, and Morine (Holt, Rinehart, and Winston) may be helpful. The unit requires about six weeks if taught at one time. The teacher may wish to divide the unit, teaching the basic sentence patterns and transformations at one time and teaching the remainder of the unit at a later time. (See alternate plan of time allotment chart.)

The purposes of the study of "Words and Their Meanings" are

(1) To increase the student's control of language.
(2) To forestall confusions which arise from failure to understand how words can be used meaningfully.
(3) To show how people use words as meaningful tools.
(4) To increase the student's knowledge about his language.
(5) To clarify the student's understanding of our methods of explaining words.
(6) To increase his facility in using these methods.

Although no specific unit is planned for the eighth grade in spelling and the use of the dictionary, the teacher should refer to the seventh-grade units in these areas and apply the suggestions for spelling and word study in the eighth-grade work. As in the seventh grade, composition assignments and literature units provide opportunities for building spelling and dictionary lessons. In addition, language assignments over this year's language materials are included in the literature units.

III. Composition

A variety of composition topics is given in each unit for the consideration of the teacher and student; topics arising from the literature are developed through the study and discussion questions. Enthusiastic class discussion will improve the quality of compositions by stimulating students' ideas and imaginations. At least one composition from each literature unit should point toward the core text as it relates to the central theme of the year's work--the heroic qualities of justice, courage, and control. The Nebraska Curriculum for English (1961) outlines in some detail the objectives for composition in junior high (pp. 38c-41c) and the junior high teacher will find these pages helpful in planning and evaluating eighth-grade compositions. It is most important that the student learn to write with honesty, to express ideas of value and support them with evidence gained from reading and experience. He should be encouraged to organize his ideas in logical sequence so that the composition, no matter how short, shows a developed central idea. In evaluating a theme, major emphasis should be given to clear thinking and organization of ideas. See the Nebraska Curriculum for English for suggestions on marking papers. No unit is planned for areas in capitalization and punctuation; it is assumed that teachers of English will have ample materials at hand for assisting students with these skills. Certainly, the frequent composition assignments will be a proving ground for applying these skills and will give the teacher an opportunity to find weaknesses without wasting the students' time with multitudinous exercises and drills.

IV. Integration of Language and Composition with Literature

Language units of the eighth grade treat syntax, word use, and semantics. Although it has not yet been proved by research, it might safely be assumed that there is some carry-over from formal study of structural syntax to writing compositions. Consequently, the eighth-grade language studies should be constantly related to the year's literature units. The syntax of certain authors, such as John Steinbeck and Stephen Crane, might be of especial interest to students. They will soon realize that an author's tone is somewhat dependent upon the syntax he employs. In an effort to improve the students' styles, they might be asked to investigate their own syntax and determine whether a simplification or a complication of syntax would improve their styles. Eighth grade students should be constantly aware of the ramifications of semantics. By introspection, they could diagnose their own experiences with language meaning.

In the eighth grade, students' composition work builds upon varied writing experiences in the grades and looks forward to formal rhetorical composition in the high school. Do read the ninth and tenth grade rhetoric units to become aware of the exciting possibilities in these years. This academic year should give the students opportunity for additional experience with the paragraph or short composition, and their component sentences. Students should be guided away from long rambling compositions. This is not a time to place strict structural limitations upon the paragraph, but rather a time at which students should investigate the many possibilities of the paragraph concentrating upon its content, its unity, and its cohesion. The student must have something to say; if he does, he will fashion his paragraph satisfactorily.

For detailed suggestions on motivating an interest in language and composition activities, see the seventh-grade "Introduction to the Units."

The eighth-grade program is, on first glance, a demanding one. However, most students at this grade level are interested in heroes. If the teacher is prepared to offer the challenge, he can expect a rewarding acceptance of it from his students.

A CURRICULUM FOR ENGLISH

Teacher Packet

THE MAKING OF HEROES

THE NOBLEMAN IN WESTERN CULTURE

Grade 8

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Experimental Materials
Nebraska Curriculum Development Center

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THE NOBLE MAN IN WESTERN CULTURE:

THE MAKING OF THE HERO

Grade 8

CORE TEXTS:

Track A:

Stephen Crane, The Red Badge of Courage (New York: Dell Paperback, 1960). (50¢)
Pierre Boulle, The Bridge Over the River Kwai (New York: Bantam, 1957). (50¢)
Anne Frank, The Diary of a Young Girl (New York: Pocket Book, 1953). (50¢)
Harper Lee, To Kill a Mockingbird (New York: Popular Library, 1962). (60¢)
Ernest Hemingway, The Old Man and the Sea (New York: Scribner's, 1952). ($1.60)

Track B:

Same as Track A but The Red Badge of Courage. Substitute:

Marjorie Kinnan Rawlings, The Yearling (New York: Scribner's, 19). ($1.45)

OR

Booker T. Washington, Up From Slavery (New York: Bantam, 1959). (60¢)

Track C:

Marjorie Kinnan Rawlings, The Yearling (New York: Scribner's, 19). ($1.45)
Antony Hope, The Prisoner of Zenda (New York: Pyramid, 19). (35¢)
Robert L. Scott, God is My Co-Pilot (New York: Ballantine, 19). (35¢)
Ernest Hemingway, The Old Man and the Sea (New York: Scribner's, 1952). ($1.60)

NOTE: The following collection of short stories may be used as in-class introductions to the idea of the modern hero:

Roger Goodman (ed.), 75 Short Masterpieces (New York: Bantam, 1961). (60¢)

The following selections are recommended:

"He Swung and He Missed," p. 5.
"Senor Payroll," p. 12.
"Daughter", p. 35.
"The Upturned Face," p. 49.

"A Game of Billiards," p. 53.
"The Test," p. 90.
"The Sniper," p. 197.
"A Dangerous Guy Indeed," p. 221.
"The Begger Woman of Locarno," p. 253.
"The Phoenix," p. 255.

I. DESCRIPTION OF CONTENTS

This unit introduces to the student the concept of the hero in western literature, a concept they will use later in the eighth grade units, The Historical Novel Hero, The Journey Novel Hero, and The Epic Hero: Beowulf and Roland. This unit, and the entire eighth grade program, builds upon the seventh grade units on myth and religious narrative and becomes, with the seventh grade units, fundamental in the curriculum program.

If the student is to have an understanding of the hero, the teacher must make him aware of the continuity of the concept of the hero by specific references to western literature. The first section of this unit concerns the varying concepts of the hero throughout western literature by using brief quotations from Greek, Roman and Renaissance literatures; the second section deals with the hero of modern literature. The student should compare the heroes of modern literature with the heroes of the past as well as understand the traits of each hero. The entire unit emphasizes the hero as a character in western literature rather than as an historical man. In this respect, the hero of literature is closer to "myth" than ordinary modern history.

The teacher's packet contains brief critical essays concerning the prominent literary heroes of western literature and essays discussing most of the modern works that the students read. The essays are meant to be aids for the teacher, not lectures for the students, but the questions in the student packet are designed to reflect the ideas contained in the critical essays. The student should work towards the central idea of each selection—this may take some pushing on the teacher's part to be sure—but active participation is always worth more than passive listening. The essays do not answer all of the questions in the student packet but most of the questions, beyond the simple "what happens here" type, relate to the central idea of the critical essay. It is hoped that there are enough questions so the teacher may select the ones most suited to the level of the class. One can, of course, overdo the question technique and the student wanders away from the experience of the book to the answering of the questions. Perhaps it would be best to have the students read each selection through before attempting to answer the questions. It would be a shame to interrupt the death of the fish in The Old Man and the Sea with a question. The questions, then, are for the teacher's selection, not his restriction.

The unit deals with two kinds of heroes, to oversimplify; exemplary heroes constructed by cultures in which the values of the culture are somehow embodied in the hero and in which the depth and richness and fullness of the character is the depth and richness and fullness of an idea given radiance in a man. These are the heroes discussed in the section titled "The Heroes" (II, B). The teacher will find that the reading techniques which the student learns in approaching these characters is also the reading technique which the student will need to handle the characters in the unit on Beowulf and Roland (The Epic Hero) and, making suitable adjustments for the difference between heroic and satiric technique, in the Lazaro-Don Quixote unit (The Journey Novel). On the other hand, the modern heroes included in this study have another kind of "depth" and richness—the kind that goes with an imaginative rendering of complex psychology. And with this kind of writing, the complicated question of "point of view" in fiction becomes prominent; the teacher should study carefully the essay on "point of view" included in Section E II (The Modern Hero: "The Modern hero and the author: "point of view" in reading.) The student who masters the reading techniques requred for the handling of the "modern hero" section will be ready for the *Historical Novel* unit and for other units in the Nebraska Curriculum dealing with modern fiction.

II. Critical Aids:

A. The Hero and his Culture:

This unit will be concerned with the hero as an ideal, an ideal of his culture and his creator. The seventh grade unit, *The Classical Myth*, outlines two possible functions of myth that are quite applicable to a discussion of the hero. Myths tend to (1) picture the values and ideals toward which the group should move and (2) picture whatever is holy to the group. The classical and Christian heroes, at least, fulfill these functions. Whether Achilles or Beowulf actually existed is not of prime importance; what allegorical, symbolic, or exemplary meaning they embodied for their culture is all important. If we are to discuss the hero at all, we must consider the values of the work that contains him.

To extract Achilles from the *Iliad* and place him in the world of *Beowulf*, then condemn him for his pride, certainly distorts the heroic character of Achilles. But Achilles is the grand and honored hero of the *Iliad*; his heroic nature is valuable within the *Iliad* but not necessarily within *Beowulf*, *The Song of Roland*, or *The Red Badge of Courage*. The Greek hero defended his honor with physical courage, was proud of his courage and his honor, and would sacrifice all, even Greek victory, for his honor. The *Iliad*'s moving force is the revenge and wrath of Achilles against Agamemnon. After Achilles deliberately withdraws from battle, the Greeks, in spite of such formidible warriors as Diomedes, Ajax and Odysseus, fall back to their ships beaten by Hector and the Trojans. Only when Achilles returns to the battle may the Greeks conquer; his superior strength and courage are necessary for Greek victory. The values of the *Iliad* are contained in its hero: Achilles exemplifies physical strength and courage as well as justifiable pride. Perhaps Aristotle's definition of the great-souled, proud man best captures the hero of the *Iliad*: "Now the man is thought to be proud [great-souled] who thinks himself worthy of great things, . . . the proud [great-souled] man, then, is an extreme in respect of the greatness of his claims, but a mean in respect [to] the rightness of them"[1] Achilles is the proud man worthy of his pride and the Greek ideal. But each literary work defines its own hero. Achilles, Aeneas and Beowulf embody Greek, Roman and Medieval Christian ideals each in his own way. (Further detailed discussion of the epic hero may be found in the later unit, *The Epic Hero*). These heroes are hardly "realistic" or particular human beings, a fact which becomes quite evident if we try to imagine any one of them as historical, rather than literary, figures.

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[1] Quoted from Maurice B. McNamee, *Honor and the Epic Hero* (New York: 1960), p. 6.

To the Romans Aeneas was an example of the good man; his stoicism, his physical superiority, his pious nature are all exemplary and the composite, ideal Aeneas was never meant to have the psychological complexity of a modern literary hero. Aeneas' complexity is moral, not psychological, and we ask questions of Aeneas' moral qualities and how they embody Roman ideals, not whether Aeneas' behavior is psychologically plausible. These heroes imitate ideals, not persons; they "tend to picture whatever is holy to the group."

The word "group" in our last paragraph gives us the clue to the contrast between the epic hero and the modern literary hero. As a society becomes more complex, the literary audience fragments and the artist can not depend on a uniform reaction to his work. He no longer can predict what "is holy to the group," only what is holy to himself. Not only does the tone of his work change but the traits of his heroes change. The heroes embody the artist's ideals (as they do in the Classical and Christian epic), but not necessarily the audience's ideals. The stature of the hero is reduced, he seldom has national or cultural scope, and he tends to be more realistic and psychological. The character of the hero loses its exemplary qualities as it gains psychological depth. Since the artist can not rely on the values of the group to sustain or support his hero, he must construct a value system on his own. This system may or may not support the morality of a large section of his society. (See the seventh grade unit, The Making of Stories for more details.) The modern realistic hero embodies the ideals of the artist who creates him--ideals that may conflict with the code of contemporaneous society. Achilles, Aeneas or Beowulf never struggle against a moral or social norm, they support it; but the conflict between the modern hero and the existing moral and social code is often the very heart of a modern novel.

Given these differences between the modern and the epic hero, it seems almost fruitless to compare them on an absolute scale--the modern hero doesn't have a chance. What modern hero has the pride and courage of Achilles, the piety and duty of Aeneas or the Christian virtues of the Red-Cross Knight in Spencer's Faire Queene? A rare man indeed. But we must constantly remember that these heroes are not men at all, but composite ideals, exemplary and allegorical figures. When an artist starts with a national or cultural ideal and works towards a man, he creates an Achilles or Aeneas; when an artist starts with a man and works towards his own ideal, he creates a Henry Fleming (The Red Badge of Courage) or Santiago (The Old Man and the Sea).

Thus far we have discussed the hero as an ideal, not a man of action; but what a hero is reflects in what he does. Achilles can not prove his courage in a tea room; he must have battles and an antagonist the stature of Hector. The noblest Achaean must have the noblest Trojan to defeat. Any hero must be tested in order to prove his heroism, so that any discussion of what makes a hero must consider the obstacles he surmonts. The author who creates the hero and his virtues creates the obstacles as well; and again we are reminded that any literary hero must be discussed with his surroundings, i.e., the work in which he exists. To have a hero like Achilles appear amid the soldiers in The Red Badge of Courage is unthinkable; Achilles' type of courage just does not exist in The

Red Badge. But a test of the hero is common to both the *Iliad* and *The Red Badge*, as it is in most hero-centered literature. The hero meets his test with all he is and either is conquered or conquers.

B. The Heroes:

1. Achilles.

It may be difficult for us to admire the boastful, proud Achilles, but his place as the hero of the *Iliad* may not be disputed. The Greek warriors admire and praise him; the Trojans fear even his presence on the battle field. Achilles combines the Greek virtues of physical prowess, exemplified by Telemonian Ajax, and crafty intelligence, exemplified by Odysseus. To condemn Achilles is to condemn the whole *Iliad*, because the structure of the peem supports Achilles. He is wronged by Agamemnon, withdraws from the fighting until his beloved friend, Patroclos, is killed, then seeks revenge on Hector and the Trojans. The *Iliad* ends with Achilles victorious, feared and admired. Homer does not ask us to admire Achilles as a *person* but as an heroic *ideal*.

The student's sympathy (which is fully justified) for the Trojan warriors may block their judgment of Achilles, but perhaps it is enough for them to realize the Achilles *is* a hero and the type of hero he is--justifiably proud and "fierce." In the selection from the *Iliad* read by the students the physical prowess of Achilles is quite evident; what the student may not see is Achilles' pride, and that it is justified by his feats on the battle field. Achilles is flattered by the comparing of him to the men he kills; he kills the worthy because he is worthier.

2. Aeneas.

Achilles is reminded by the gods throughout the *Iliad* that his fate is death; Aeneas is reminded in the *Aeneid* that his fate is the founding of Rome. The "personal" warrior's code ideal of the *Iliad* contrasts directly with the national ideal of the *Aeneid* and, of course, each hero reflects the ideal. Aeneas serves the national destiny of Rome, and the "great Aeneas" acts out his fate with obedient duty, a duty that requires him to kill the worthy for the sake of his destiny. Aeneas has a pity for his victim, Lausus, that Achilles could never express, but Aeneas kills in spite of his pity because he realizes that the founding of Rome depends upon his deeds. Aeneas' compassion and sense of duty points towards the Christian knight and away from Achilles' personal code of honor, but Aeneas is still a classical hero--he is proud, he is the "great Aeneas."

In the selection the students read Aeneas is moved by the son, Lausus, defending his father. Filial devotion and duty may be substituted for national duty in this short selection, and a brief report on Aeneas' final national destiny would easily link the filial and national. This selection also is useful for a discussion of courage and justice. Lausus seems courageous when he comes forth to defend his father, but his courage disintergrates into foolhardiness when he attacks the great Aeneas, even after Aeneas' warning. His rashness destroys him just as much as Aeneas' sword. Aeneas' duty to Rome overcomes his compassion and he slays him, but Aeneas does recognize a code higher than personal glory. He does not boast over Lausus' body; he honors the code of filial devotion by allowing Lausus' father, Mezentius, the right to bury his son. Aeneas recognizes the enemy's rights and this is Aeneas' justice--devotion to an ideal higher than himself and adherence to that ideal. Justice implies this devotion and duty to an ideal and again we may separate Achilles from Aeneas. Achilles is devoted to his own glory, Aeneas to the glory of Rome; Achilles' justice involves personal honor, Aeneas' justice involves national honor.

3. Sir Gawain and Sir Lancelot.

Sir Gawain and Sir Lancelot should be judged against the code of knighthood outlined in Diaz de Gamez's "Chivalric Ideal." Both knights honor the order of knighthood and both are worthy men, but Sir Lancelot, in this passage, is the superior knight--not only in physical strength but in moral strength. In this respect we may use Gamez's "Chivalric Ideal" as the moral code and the selection from Malory as the exempla (or example) of this moral code. This moral code includes the four secular virtues of Christianity--courage, justice, prudence and temperance[1] tempered by humility (duty to God's will) and charity (love of fellowman). The code of knighthood functions to serve the earthly king (here King Arthur) and the heavenly king (the triune God), and when a knight forsakes the code, he forsakes both his king and his God. The code is not, then, a "save-the-fair-damsel" ethic but a devotion to higher ideals, ideals grounded in medieval Christianity.

There is no question that Sir Gawain is a great knight, but his reasons for fighting Sir Lancelot are suspect: he wishes revenge upon Sir Lancelot for the death of his brothers. Sir Gawain calls Sir Lancelot a traitor and a coward, insults that force Sir Lancelot to defend himself. Sir Lancelot does not fight because he is enraged, but because he is "as a beast at bay" and must fight. He must fight because his very knighthood is being challenged, and he fights reluctantly. He fights all the more reluctantly because he is fighting against King Aruthur's "own blood."

The word "endure" best summarizes Sir Lancelot's behavior during the fight and also serves as a point of comparison between Sir Lancelot and the other heroes we have met. Sir Lancelot endures the superhuman blows of Sir Gawain until Sir Gawain loses his great strength; then Sir Lancelot must "do his duty" by striking Sir Gawain down. Sir Gawain never loses his insulting tongue ("Turn again and slay me, traitor knight"), but Sir Lancelot is true to the code, not to his personal anger. He will endure Sir Gawain "by the grace of God." Sir Lancelot recognizes his duty to his God and his dependence on him as well as his duty to his fellow knight. The intemperate Sir Gawain has little charity for Sir Lancelot, while Sir Lancelot controls his anger and serves the higher code of knighthood. But Sir Lancelot has deserted King Aruthur, and Arthur laments this loss because "without good knights, the king is like a man who has neither feet nor hands."

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[1] The last two virtues, prudence and temperance, may be called "self-control" for the student. "Prudence" and "temperance" tend to have unfavorable connotations today.

Any comparison between Achilles and Sir Lancelot should be easy to make by this time--Aeneas is the problem. Sir Lancelot embodies perhaps more than the national ideal embodied in Aeneas. His virtues are religious before they are national--God, then king; while Aeneas' virtues are national before they are religious--Rome, then the gods. This may be a fine distinction for the student to make but perhaps a discussion of justice would focus the problem. Aeneas, as we have seen, devotes himself to Rome and to his fate that he must found Rome; this code determines his justice: Sir Lancelot is devoted to a code of knighthood based on a devotion to God. Aeneas endures by his faith in Rome, Sir Lancelot "endures by the grace of God."

4. Mr. Oakhurst.

The title of Bret Harte's short story establishes the basic contrast between the outcasts and the people of Poker Flat. The outcasts are far nobler than the townspeople and one searches for a standard of judgment. In the _Iliad_, _Aeneid_ and _La Mort D'Arthure_ the standards of justice coincide with the society involved in each work. Aeneas supports his own society's ideals, the society in and out of the _Aeneid_, but in "The Outcasts" the main characters are in conflict with their society. The standard of justice cannot be the mores of the townspeople of Poker Flat; they banish the only good man among them. Their standard of justice is revenge for monetary loss. With the exception of Uncle Billy, who becomes an outcast from the outcasts, the sympathy for others redemns the main characters--in Gamez's terms, their charity. Mother Shipton's death, the Duchess' concern for Piney and Tom's desire to entertain the group, all stem from their charity. Initially the outcasts are isolated persons, isolated from the town and from each other, but gradually they lose their selfishness and help each other. All but Uncle Billy are good people on this standard of charity, and he is an outcast from even society's rejects.

This standard of charity also judges Mr. Oakhurst and makes him at once "the strongest and the weakest" of the outcasts. Oakhurst realizes the ultimate fate of the group and what he must do to save them, but he cannot perform his duty--a duty that would require him to go back to Poker Flat, face the townspeople and save the group. He is a man obsessed with his fate, and he allows his fate to conquer him. Oakhurst is fascinated with the Achilles of Tom Simpson's narration because Achilles knew he was to die. But Achilles slays Hector in spite of this fate; Mr. Oakhurst cannot perform the heroic act, and the realization of his own death conquers him. He is a man of fate, a gambler who lives by chance, but he cannot accept the consequences when his luck runs out. But Oakhurst is the strongest person in the group because he has this knowledge of death. He comforts and encourages them, lies about Uncle Billy's theft of the provisions so they won't be upset and prevents the group from panicking. Oakhurst should go back to Poker Flats and he should help all the others back. If Tom Simpson can make it, certainly Mr. Oakhurst could have. Oakhurst is not a coward because he refuses to act, but his own sense of fate destroys him. His failure to act violates the standards of the outcast group because he forsakes the group, thus forsaking his fellow man. Piney and The Duchess die locked in each other's arms--an affirmation of charity; while Mr. Oakhurst dies alone and by his own hand--a denial of charity. He is the strong who failed the heroic test.

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IV. The Modern Hero

A. The Red Badge of Courage: Henry Fleming - (Courage)

From the first paragraph of the Red Badge of Courage the army is alive and the landscape moves, threatens or consoles Henry Fleming as he prepares to meet the great "blood-swollen god" of war. Henry must learn what courage is before he may confront the war god; he must shed not only cowardice but his humanity as well; he must become a fanatic and a beast in order to become a hero. The vivid life of this book lies not only in th obvious excitement in the events of the battle but in the metaphorical transformation of shell bursts to flowers, trees to gods and men to beasts. When Henry runs, he runs "like a rabbit"; when he is cornered, he "develops teeth and claws" and in the midst of battle the men "resembled animals tossed for a death struggle into a dark pit. There was a sensation that he and his fellows, at bay, were pushing back, always pushing fierce onslaughts of creatures who were slippery" (p. 138). The soldiers lose their humanity to become heroes. But The Red Badge of Courage is not a propaganda tract for a pacifist league, it describes what happens to one who meets the war god and becomes a man.

When Henry Fleming leaves his mother disappointed at the rather flat and unheroic goodbye, he is a vain, self-centered recruit who belives that battles "might not be distinctly Homeric, but there seemed to be much glory in them." (p. 30) But the dullness of the camp whose tent floors seem built for eternal use destroys Henry's vision of heroics and he grew "to regard himself merely as a part of a vast blue demonstration. His province was to look out, as far as he could, for his personal comfort." (p. 34) Henry certainly loses his individuality by wearing the blue uniform and drilling with the troops, but he does not lose his selfishness. He is an insignificant but selfish member of the snake like army that "crawled from the cavern of the night," and the conversations with the loud soldier, Wilson, and Jim Conklin confirm our opinion that Henry wants to test his own courage not the army's. Henry's first encounter with the enemy reflects his own selfishness:

> But he instantly saw that it would be impossible for him to escape from the regiment. It inclosed him. And there were iron laws of tradition and law on four sides. He was in a moving box.

> As he perceived this fact it occurred to him that he had never wished to come to the war. He had not enlisted of his free will. He had been dragged by the merciless government. And now they were taking him out to be slaughtered. (p. 51)

Henry sees himself as an object "carried along by a mob" with no responsibility for his own life or death, and he pities himself, to the point of wishing himself dead or wounded so he could "retire with perfect self-respect and make excuses to the stars." (p. 101) But Henry is not alone in his selfishness, the entire regiment defeats itself in its first encounter by being a confused mob, not an army. Its movements are separate and confused:

> There was a singular absence of heroic poses. The men bending and surging in their haste and rage were in every impossible attitude. The steel ramrods clanked and clanged with incessant din as the men pounded them furiously into the hot rifle barrels. The flaps of the cartridge boxes were all unfastened, and bobbed idiotically with each movement. The rifles, once loaded, were jerked to the shoulder and fired without apparent aim into the smoke or at one of the blurred and shifting forms which upon the field before the regiment had been growing larger and larger like puppets under a magicians's hands. (p. 67)

There is no aim or organized action in the regiment, and, of course, they come off badly in their first encounter with the enemy. Henry stands because the others stand; Henry runs because he perceives that others are running. His actions are controlled by others, and Henry's and the regiment's actions are singularly unheroic in the encounter.

When Henry returns to his unit after he has run from the battle, witnessed the death of Jim Conklin and been humiliated by the "tattered man," he is cared for by Wilson, the loud soldier, but Wilson has changed. No longer does he boast of his coming heroism; he has been calmed and humbled by the battle and, as such, is a deliberate psychological contrast to Henry who has not seen the war god and has not been changed. Wilson helps Henry and is ashamed when Henry tries to lord his "last letter" over him. Henry boasts and lies about his ironic red badge of courage while Wilson, who has reason to be proud, humbles himself before Henry's taunts. Wilson is a man, Henry is still a boy; Wilson has met the war god, Henry has not; Wilson has lost the selfishness that Henry retains with renewed enthusiasm.

In the second charge after Henry returns to his unit, he again becomes the beast charging at the war god, but this time he comprehends everything, everything "save why he himself was there." (p. 149) He does not ask that terrible question, it is just not in his mind at the time of the charge. Henry participates not only in the physical fact of the charge but in the psychological frenzy that permeates the charge:

> But there was a frenzy made from this furious rush. The men, pitching forward insanely, had burst into cheerings, moblike

> and barbaric, but tuned in strange keys that can arouse the dullard and the stoic. It made a mad enthusiasm that, it seemed, would be incapable of checking itself before granite and brass. There was the delirium that encounters despair and death, and is heedless and blind to the odds. It is a temporary but sublime absence of selfishness. And because it was of this order was the reason, perhaps, why the youth wondered, afterward, what reasons he could have had for being there. (p. 149, italics added)

Henry asks no questions when he charges, he thinks of nothing; he only reacts to the charge, the questioning comes later. We must remember that Henry is never alone in any of these charges, he may lead a few, but he never charges without his mates. It is this atmosphere of the "sublime absence of selfishness" that allows Henry to charge, that leads him to heroism. It is in no sense a conscious act, but it is a courageous one. Henry still exists in the "moving box" that is the army, but no longer does he whine about it; he is being taken out to be slaughtered, but he has lost himself and the question "why am I here?" Later in the battle when Henry is the color-bearer and, in a sense, leading the charge, the same loss of self takes place:

> For it seemed that the mob of blue men hurling themselves on the dangerous group of rifles were again grown suddenly wild with an enthusiasm of unselfishness . . . . But they were in a state of frenzy, perhaps because of forgotten vanities, and it made an exhibition of sublime recklessness. There was, apparently, no considered loopholes. It appeared that the swift wings of their desires would have shattered against the gates of the impossible. (pp. 173-174)

Henry's courage comes in a frenzied charge that robs him of himself; cowardice comes when Henry is a selfish part of the group. Courage, then, is sacrifice, and Henry has learned what Wilson knew after the first encounter: "He felt a quiet manhood, nonassertive but of sturdy and strong blood. He knew that he would no more quail before his guides wherever they should point. He had been to touch the great death, and found that, after all, it was but the great death. He was a man."

B. The Old Man and the Sea: Santiago (Control)

Santiago is a man who loses everything but that which makes him a Man. His old age has taken his youthful fishing skills, so that what is left is a good right hand, a bad left hand and his knowledge of the sea; his society has taken his only helper and worshiper away from him, the boy, because the old man has run out of luck, and the sharks destroy the last symbol of what he is, the fish. But the book is not an exercise in defeat and pessimism, for the old man is, in his own words, "destroyed but not defeated." Though his body hardly obeys him anymore, the old man's will and intelligence conquers the pain of his body and he kills the fish.

The old man's world is the sea and the creatures of the sea. In fact, we might say that Santiago's religion is the sea; his doctrine of salvation is union with the creatures of the sea, and his ritual of worship the killing of the fish. The religion of his society does not comfort him; he uses it as a spell and good luck charm: "I will say ten Our Fathers and ten Hail Marys that I should catch this fish, and I promise to make a pilgrimage to the Virgen de Cobre if I catch him. That is a promise." (p. 63) But his panthesitic religion does actively help him as the birds show him where bait is:

> If they don't travel too fast I will get into them, the old man thought, and he watched the school working the water white and the bird now dropping and dipping into the bait fish that were forced to the surface in their panic.
>
> "The bird is a great help," the old man said. (p. 35) And Santiago receives comfort from his remembrance of turtles:
>
> Most people are heartless about turtles because a turtle's heart will beat for hours after he has been cut up and butchered. But the old man thought, I have such a heart too and my feet and hands are like theirs. He ate the white eggs to give himself strength. He ate them all through May to be strong in September and October for the truly big fish. (p. 34)

But the creatures of the sea are not all helpful and noble. The Portuguese-man-of-war stings him, and he rejoices when the turtles pop them open and eat them. Although the first shark to hit the fish is noble, "everything about him [the Mako shark] was beautiful except his jaws." the second and third group of sharks glut themselves when they tear at the great fish, "the shark let go of the fish and slid down, swallowing what he had taken as he died." (p. 108) But the old man does not hate the order of the sea, an order that will save him or destroy him; he accepts the inevitable destruction that must be his.

The old man seeks union with the fish and quite early in the hunt the fish loses any commercial value: "How many people will he feed, he thought. But are they worthy to eat him? No, of course not." (p.74); and the hunt becomes spiritual: "I'll kill him though, in all his greatness and his glory." (p. 64) The old man thinks of himself as having intelligence and will and the great fish as having heart and nobility, "But, thank God, they are not as intelligent as we who kill them; although they are more noble and more able." (p. 61) "I wish I was the fish, he thought, with everything he has against only my will and my intelligence" (p. 62) The old man's intelligence and will can defeat the fish because only these qualities can overcome the pain of the kill, for "I must hold his pain where it is, he thought. Mine does not matter. I can control mine. But his pain could drive him mad." (p. 87) Santiago seeks to control in equipoise the pain of the fish and his own pain but this search for balance and union creates his own sacrifice and that of the fish. By choosing to go beyond the safe fishing waters, he chooses not only to confront the glory of the fish but to confront his own destruction:

> His choice had been to stay in the deep dark water far out beyond all snares and traps and treacheries. My choice was

> to go there to find him beyond all people. Beyond all people in the world. Now we are joined together and have been since noon. And no one to help either one of us. (p. 48)

Santiago looks upon the fish as his brother, a brother he must kill and a brother he would wish to be: "Man is not much beside the great birds and beasts. Still I would rather be that beast down there in the darkness of the sea." (p. 67) Just before Santiago kills the fish there is an almost complete spiritual balance between the fish and the man:

> You are killing me, fish, the old man thought. But you have a right to. Never have I seen a greater, or more beautiful, or a calmer or more noble thing than you, brother, Come on and kill me. I do not care who kills who.
>
> Now you are getting confused in the head, he thought. You must keep your head clear. Keep your head clear and know how to suffer like a man. Or a fish, he thought. (p. 92)

The old man has relinquished his very intelligence and he endures through his suffering only, just certainly as the fish endures. At the moment of the kill, "he took all his pain and what was left of his strength and his long gone pride and he put it against the fish's agony." (p. 93) And of course he drives his harpoon through the fish's heart, the fish's nobility.

This theme of endurance and self-sacrifice certainly helps explain the many metaphorical reference to Christ. Although the Christ symbolism of the book is in no way structural (the old man is not literally crucified, nor is there a last supper, etc.); the references to the Christian idea of a sacrificial salvation supports the theme of The Old Man and the Sea. When the sharks hit the fish and the old man cries out "Ay," Hemingway says, "There is no translation for this word and perhaps it is just a noise such as a man might make, involuntarily, feeling the nail go through his hands and into the wood." (p. 107). We should not transform the old man into Christ but remind ourselves that the old man's suffering is like that of Christ's. When the old man hauled the mast of his ship back to his house, "he started to climb again and at the top he fell and lay for some time with the mast across his shoulder" (p. 121); we again are reminded of the Christian sacrifice, but this reference works like metaphor and not like the assertion of identity. The idea of control, sacrifice, and endurance is the important allusion, not that Santiago is in any sense a new Christ, not even a new "symbolic" Christ.

C. The Bridge Over the River Kwai: Colonel Nicholson (Control-Courage)

Col. Nicholson, like Santiago in The Old Man and the Sea and Henry Fleming in The Red Badge of Courage, goes beyond reason and the normal order of things, but Nicholson's rigid adherance to military discipline leads to an inversion of value not the affirmation of value. Nicholson's "courage" and devotion to an ideal blinds him to the true values expounded in the book. At first Nicholson's devotion to this military ideal produces valuable results; his insistence that he and his officers maintain control of their men for the good of the men is a noble ideal and certainly his ordeal and torture makes us admire him. But when Nicholson does gain control his main thought is the bridge, not the physical welfare of his men. He becomes obsessed with the idea of perfection; the idea is transformed into attacks on his own men for impeding the progress of the bridge. He strives not for his men but for the bridge. He must build a better bridge than the Japanese could build to prove that the Western idea of perfection is superior to the Japanese culture. He deplores the methods of the Japanese because they are not efficient and they will not last. He proceeds to build a better bridge so the Japanese may conquer Asia and hence, forsakes the ideals of the war for the ideal of perfection.

But Col. Nicholson is not the only offender; his officers follow and admire him so much so that they are counterparts of his personality. Reeves the engineer criticizes the Japanese engineer and perfects a plan for a bridge that would last twenty years. Hughes perfects his talent for managing men and drives them to build the "perfect" bridge and the men themselves devote their lives to the bridge. Clipton, the medical officer, is the sole doubter and he always is asking himself, "Is Nicholson a hero or a fool?" And this question must be answered if we are to understand the book. Nicholson's devotion to a higher ideal and his determination to execute that ideal are admirable traits, traits that we have observed in all the heroes we have considered. The deliberate contrast between Col. Saito and Col. Nicholson, between a ruined, incapable man and a military ideal, certainly enhances our judgment of Nicholson. Nicholson's insistence on military respect and adherence to the Manual of Military Law seems quite admirable, but even this admiration is tempered by Clipton's doubts, and we soon learn to listen to Clipton.

The parallel plot concerning the demolition team and the development of Joyce obviously links to the building of the bridge on the action level and probably not so obviously on the thematic level. Force 316 must destroy the bridge and they must do it perfectly. They are also obsessed with the idea of perfection, they must plant the charges in exactly the right place, they must think of every possible detail and yet they fail. They fail because they are not fighting the Japanese but their own western idea of perfection embodied in Col. Nicholson. Force 316 pits a young man who has not been tested, Joyce, against the most determined and insane of men, Col. Nicholson. Joyce will be able to use the knife to kill, but he kills the wrong man. Perfection destroys itself by blinding itself to the reality of war and the defeat of the Japanese. Col. Nicholson does go beyond the normal expectations of society and he is, in a sense, courageous, but he serves the wrong ideal and the ideal destroys not only himself but the society in which he exists. It is courage gone wrong.

D. The Diary of a Young Girl: Anne Frank (Courage)

The structure of Anne's diary depends not only upon the physical events that happen to her but upon the state of her mind. As Anne says, "memories mean more to me than dresses," and memories constitute her diary. But these are not memories that run in a straight line to a specific physical or psychological event; they are memories recorded in all their vividness, without a judgment by the rememberer, Anne. She records her life and as we read through her diary we realize this is not a record of her physical isolation only, but of psychological isolation. Her daily trials of hunger and fear of the Germans take second place to her concern for her own "self" and its relation to the others in the isolated group. The struggle with her physical isolation is shared by the whole group and finally resolved by the Germans carrying them away, but the struggle with her psychological isolation is shared only by her diary, Kitty, and resolution never comes. The last entry presents the problem that Anne never learns how to overcome:

> My lighter superficial side will always be too quick for the deeper side of me and that's why it will always win. You can't imagine how often I've tried to push this Anne away, to cripple her, to hide her, because after all, she's only half of what's called Anne: but it doesn't work and I know, too, why it doesn't work.

Anne divides herself in two - her social "Anne" and her diary "Anne" - and we, of course, see the Anne of the diary. Anne's struggle is to resolve these two into one Anne, but she can never truly present the diary Anne to the others isolated with her. She tries with Peter but their relationship so often is one of Anne worshiping Peter rather than Peter ever knowing the "real" Anne; but the only moments of understanding outside her diary come in her talks with Peter. She distrusts her mother, finds her cold and unknowable; she loves her father but cannot talk to him. Peter does meet the Anne of the diary for a few brief talks.

The structure of the diary follows this struggle between the two Anne's - Anne as social object and Anne as psychological reality. She stands between her hatred of others who treat her as an object and her understanding toleration of others. In the entry for 22 January 1944, Anne feels she is quite mature and can reconcile her own wants with those of the groups, "I want to start afresh and try to get to the bottom of it all, not be like the saying 'the young always follow a bad example.' I want to examine the whole matter carefully myself and find out what is true and what is exaggerated." But her equilibrium is easily upset as it might easily be given the intense pressure of having to live with others, and Anne retreats into herself again (13 February 1944), "I desperately want to be alone. Daddy has noticed that I'm not quite my usual self, but I really can't tell him everything. 'Leave me in peace, leave me alone;' that's what I'd like to keep crying out all the time. Who knows, the day may come when I'm left alone more than I would wish!" She pities herself and retreats into herself, the self we witness, her diary Kitty. Kitty becomes Anne's "real" and isolated self.

Maturity would come to Anne if she could live with her social self--the self that is the object of others, that walks around the annex, that talks and reacts to Mrs. Van Daan and Dussel. She manages to have brief periods of what we might call maturity. She tries to see her mother objectively; she tries to see the other persons viewpoint, but her doubts and dislikes never allow her to maintain a stable viewpoint towards the other members of the group. This is, of course, an adolesence's view of the world and with Anne we have all of this struggle compressed into the diary because Anne _must_ live with the others. She cannot physically escape. She must escape into her diary. Her last plea to her diary is all the more terrible and pitiful because we know that she will die,and the physical reality of the Germans will destroy the struggle with herself, a struggle that is never resolved:

> A voice sobs within me . . . . Oh, I would like to listen, but it doesn't work; . . . and finally I twist my heart round again, so that the bad is on the outside and the good is on the inside and keep on trying to find a way of becoming what I would so like to be, and what I could be, if . . . there weren't any other people living in the world.

E. The Modern Hero

1. The Modern Hero and Value.

Perhaps the psychology of Anne Frank leads us to the basic problem in any discussion of the modern hero. Anne's psychology is split into two ideas of herself; she sees herself as an object of a social group, of other people's desires and wishes _and_ she sees herself as an individual, distinct "self" that no other person may know. Kitty, her diary, is the only record of Anne's inner self. Of course Anne never unites her two selves and her final cry is for other people to disappear so her inner self may be perfected. The drama of a modern novel so often involves this struggle of two psychological _selves_ rather than a physical struggle. Even in a novel that depends so much on action like _The Bridge Over the River Kwai_, the main interest is Col. Nicholson's psychology, his inability to recognize when an ideal has gone wrong. Santiago in the _Old Man and the Sea_ goes out "beyond all people" to kill his brother and to reaffirm the very order of his inner self--in a spiritual sense, the fish and the old man become one. Henry Fleming loses his inner self to the mad frenzy of the charge and in so doing becomes a man.

Previously we noted that the values of Achilles, Aeneas and Sir Lancelot coincided with the values of their society. If we compare the modern hero with these ancient heroes we notice that the values of the modern hero may coincide with the values of Achilles, Aeneas or Sir Lancelot (e.g. Santiago and Sir Lancelot), but the values of the modern hero usually conflict with those of his society. The hero usually perceives the difference between the values of his inner self and those of society--he must either accept the values of his society (as does Henry Fleming) or reject them (as does Holden Caufield in _Catcher in the Rye_). If he rejects society's values, he is either destroyed because he cannot establish his own values (as is Quentin in Faulkner's _The Sound and the Fury_) or he must construct values for himself, values that may conflict with accepted norms. This conflict between the inner self and the social self usually occurs within the modern hero's mind, a conflict that seldom occurs in Classical or Christian literature. One might object by citing Hamlet; doesn't he have this inner struggle? Certainly he does, but there is never any question of the true values. Hamlet is not questioning the necessity for revenge, for righting the wrongs of Claudius. Hamlet knows what he must do. The questioning in Hamlet's mind concerns the validity of the ghost's accusations, is the ghost a true ghost, is the ghost from God or the Devil. The modern hero struggles to establish values; he either defeats or he is destroyed by his social self.

2. The Modern Hero and the Author: "point of view" and reading:

A discussion of the modern hero must consider two questions that confront modern literature: (1) what type of characters has the author created, (2) what is the author's attitude toward these characters. In literature before the 19th century we are seldom in doubt about the author's feelings towards his characters. Homer, Virgil and Malory tell us quite explicitytly who their heroes are and what they think of them. The problems of interpreting the author's attitudes are a matter of historical perspective rather than the author's ambiquity.

But in modern fiction the answers to these two questions become so important that they may even determine the interpretation of the work. If an author has created a character so much like himself that he cannot judge him properly (as in D. H. Lawrence's _Sons and Lovers_), then we are confused. If an author "presents" a character without explicitly telling us what he thinks of his creation, we again have an ambiquity (similar to the problems in Melville's _Billy Budd_ and James Joyce's _Portrait of an Artist_). These ambiquities of character may be resolved by the intelligent reader but not be referring to a trustworthy narrator within the work as we might do in Malory's _La Mort d'Arthure_. In _The Diary of a Young Girl_ Anne fluctuates between love and hate for her parents--when are we to trust her, when not? These problems are never resolved by Anne because they exist in her personality; but with an artist deliberately setting out to create a character and not write a "real" diary, we expect consistency and resolution. We want to know what the author thinks about his characters.

To help understand this relationship of the author to his characters, let us make three rather artificial distinctions in the narration of several works in this unit:

(1) Omniscient and reliable narrator: This narrator knows everything about the lives of his characters, their emotional, mental and moral states. The narration is, of course, third person which, when combined with omniscience, gives the narrator unlimited range. But with this freedom comes distance, a distance that gives the author's characters sharp moral and psychological outlines. In the _Iliad_, _Aeneid_, or _La Morte d'Arthure_ we are never in doubt as to the nature of the heroes, who is right, who is wrong because the narrator presents his characters as examples of certain virtues or vices; they are "flat," with little psychological depth but with great moral significance and the narrator tells us so. This form of narration is rare in modern

literature, although the third person omniscient narrator does exist, but in the modern novel the narrator seldom comments on the action, he presents it unjudged. Such is The Bridge Over the River Kwai. The narrator is still distant from his characters but now, possibly because of a lack of the narrator's comment, the characters have exchanged their exemplary natures for psychological ones. Since we can no longer rely on the author's comments to judge the characters, we must look for intentional ironies and other language cues, "normative" characters whose view of the events supposedly coincides with that of the author, and to the events themselves to discover who the "hero" is and what he means. The last paragraphs of The Bridge Over the River Kwai imply a question we must answer: "'I [Warden] took the only line of conduct possible. It was really the only proper action I could have taken.' 'The only proper action,' Colonel Green agreed." Was it the only proper action? We must turn to the attempted destruction of the bridge and Colonel Nicholson's character to find the answer, not to any specific comment by the author, because he gives us no precise, quotable answers. But Boulle does give us information about Nicholson's mistake. Clipton doubts him and properly assesses Nicholson's misguided idealism, and we have Warden's judgment that Joyce killed the wrong colonel. The author passes judgment through his characters without going into the mind of Nicholson.

(2) Third person, limited, narrator: This narrator knows everything that happens in the work but limits the observation of events to a single mind by "looking over his shoulder." Perhaps "limits" is the wrong word. The author certainly limits himself to an observation of physical events but he gains observation of psychological events. We need only observe the differences between the Iliad and The Red Badge of Courage to make this clear. Homer may roam the battle field and observe any warrior; Crane must stay with Henry everywhere he goes but he may filter the events through Henry's mind so that they are transformed by it. The army looks like a snake, the men are screaming wild beasts. "Objectively" this is not true, but psychologically these are valid sights and sounds. But how can we now trust the narrator, a narrator who sees with the eyes of a young boy? We must rely again on "normative" characters, if their are any, the connotations of the language used by the narrator, and the events of the work; for Crane does not say, "Henry Fleming you are a man," rather he says, "He was a man," and leaves us to wonder if we may trust him.

We are "with" Henry, but we are not limited by him. The narrator gives us a comparison character--Wilson--and a man who judges Henry's flight--the tattered soldier--without presenting his own judgments directly. After Henry's first combat the narrator says,

> He perceived that the man who had fought thus was magnificent.
>
> He felt that he was a fine fellow. He saw himself even with those ideals which he had considered as far beyond him. He smiled in deep gratification. (p. 71)

and in the last chapter the narrator tells us,

> Yet gradually he mustered force to put the sin at a distance. And at last his eyes seemed to be opened to some new ways. He found that he could look back upon the brass and bombast of his earlier gospels and seem them truly. He was gleeful when he discovered that he now despised them. (p. 182)

Out of context both quotations seem to express similar states of Henry's mind, but in context the first is ironic, the second serious. The author tells us what he thinks of Henry by subsequent action and description, not by direct comment. After the action of the first quotation, the rebels charge again, and "the men groaned. The luster faded from their eyes. Their smudged countenances now expressed a profound dejection . . . . They fretted and complained each to each." (p. 72) We now know that Henry's gratification was false, he misjudged the enemy, the fact of war and himself. His previous elation was quite ironic. But we do not know this from the narrator as commentator, but from the narrator as "objective" describer. After this incident we do not trust Henry's feelings (we do trust the narrator's description of Henry's inner state, however), and we take Henry's comments with a touch of irony. The attitude of the author, however, is clear.

In the second quotation we have all of Henry's experiences in the past, his desertion, his loss of fear, his loss of self in the frenzied charge, and now Crane asks us to accept Henry as a man. We can because now Henry sees what we, as readers, have seen throughout the book--that war is an unnatural god-beast imposed upon an indifferent, yet calm, landscape. Before the battle the landscape "threatened him" and "the shadows of the woods were formidable. He was certain that in this vista there lurked fierce-eyed hosts." (p. 53). But after the action of the second quotation Henry perceives the natural order that the war-god has distorted:

> It rained. The procession of weary soldiers became a bedraggled train, despondent and muttering, marching with churning effort in a trough of liquid brown mud under a low, wretched sky. Yet the youth smiled, for he saw that the world was a world for him, though many discovered it to be made of oaths and walking sticks. He had rid himself of the red sickness of battle. The sultry nightmare was in the past. He had been an animal blistered and sweating in the heat and pain of war. He turned now with a lover's thirst to images of tranquil skies, fresh meadows, cool brooks--an existence of soft and eternal peace. (p. 183)

From this quotation we do not know beyond a doubt, that Henry _is_ a fully matured man, but we do know that he has changed and for the better. Crane changes the landscape to indicate Henry's new maturity. The narrator does tell us, and we now accept the statement, "He was a man." We discover this through event and metaphor, not from direct narration. In a modern novel without a commenting, reliable narrator, as we participate further in a character's mind and feelings, we are less able to judge him absolutely. How to understand fully and judge completely the modern hero is the dilemma of the modern novel.

(3) First person, reliable and unreliable narrator: Her the author limits all physical and psychological observation to the "I" narrator and the problems for the reader multiply. Again our central problem is the reliability of the narrator—when is he right, when wrong? In third person "single mind" narration (cf. 2 above) the narrator is limited to the mind of the main character but he can comment on it and we accept the truth of his comments. In first person narration we lose even this shaky reliability; we can no longer use "objective" events in the work to judge the narrator for there are no objective events, they all exist in the narrator's present or past experience. In her diary Anne Frank records quite contradictory statements concerning her mother, father, Peter and even the state of her own mind; how are we to sort the reliable from the unreliable narration? With the diary we cannot. It is a record of a girl's mind, not a work of art, and there is no resolution to the contradiction, nor was there meant to be one. We do not know the state of Anne's mind from other person's, no one else narrates; but there is one clue to the other members of the group, their conversation. If Anne has recorded the conversation accurately, we may see through her own thoughts to this "objective" dialogue. But, of course, Anne selects the dialogue for her diary and though she may record accurately, she does not record all. We come back to the same problem. The problems in the diary are the problems of the unreliable first person narrator in a work of art but now the author may be able to give more clues. In William Faulkner's The Sound and the Fury the author presents three first person narrations, Benjy's (the idiot), Quentin Compson's and Jason Compson's as well as one section of third person narration. In this novel we may compare narrators, realize who is right and who is wrong then compare our judgments with the reliable third person narrator. Faulkner recognizes the problem of the unreliable "I" but also the extreme psychological complexity available in this form of narration. He solves the problem by giving the reader clues outside each character's narration.

We need only imagine Santiago narrating The Old Man and the Sea to realize the problems involved in first person narration. Santiago is not aware that he is a noble man; he worries more about Joe Dimaggio's bone spur than his own cut and bleeding hands. He feels Dimaggio's courage is greater than his own, but we clearly see, through Hemingway's narration, that Santiago's courage and endurance is the suffering of a noble man, and Dimaggio's endurance is artificial and he suffers as a baseball player, not a man who suffers because suffering is his very life. If Santiago narrated the book, we would have a difficult time distinguishing between Dimaggio and the old man simply because Santiago is not aware of his own greatness. A man not aware of his own greatness cannot tell us about it directly. Hemmingway can, through comment and symbol. The reading problems presented by modern novels or stories which say something about the nature of the heroic through one or another kind of point of view should be constantly kept in mind by the teacher. Students who can learn to read so that they are alert to the possibility that what an ordinary character says, what a hero says, and what a total work says through plot, symbol, and verbal texture may each be quite different from the others has learned a good deal about the art of reading in depth.

V. Composition Exercises

A. The first section of this unit distinguishes between the characters of Achilles, Aeneas and Sir Lancelot, and any composition exercise should discuss their differences and similarities.

1. Have the students write a supposed battle between any two of the ancient heroes. If the student would choose Achilles and Sir Lancelot, the differences in their characters should be just as evident as the differences in their weapons. Victory or defeat and the warrior's attitudes should depend on the character of the warrior, not the superiority of any weapon.

2. Have the students write several paragraphs describing Achilles on the battlefield of _The Red Badge of Courage_. If the student understands the differences between Achilles and the soldiers in _The Red Badge_, the distinction between Henry and Achilles will be quite evident. Achilles would never question his courage the way Henry does, etc.

3. Have the students change the ending of _The Old Man and the Sea_ so that the sharks do not eat the fish and Santiago returns to sell the fish. Then ask them to write several pages discussing the effect of this change on the idea behind Santiago's character. Perhaps they could rewrite the meeting between the boy and Santiago after he brings the fish back. A rewriting of the ending of _The Bridge Over the River Kwai_ might also work. Colonel Nicholson might aid Joyce and destroy the bridge. How would this change the character of Nicholson? of Joyce?

B. A reading of the books for this unit should make the student aware of the extreme differences in style. The following composition questions should alert the student to these differences without a mechanical imitation of any of the writers.

1. Have the students rewrite a section of "The Outcasts of Poker Flat" (say Oakhurst's death) but using the stylistic devices of either the selection from the _Iliad_, _Aeneid_ or _La Morte d'Arthure_--in prose, of course. They should be aware that a writer cannot change style without changing the subject matter. Oakhurst's death would certainly be more "noble" if written in Homeric similes.

2. Have the students write a diary of one day in the life of Henry Fleming making certain they choose a specific event (say his leave taking, his meeting the tattered soldier, or his desertion). The diary should be more personal a treatment of Henry than is possible with Crane's third person account.

3. Have the students rewrite a significant event in The Bridge Over the River Kwai using Hemingway's style. The event would certainly be toned down and the style clipped. Again the student should realize that the style actually changes the event.

C. The more advanced students, at least, should be aware of the symbolism in The Red Badge of Courage and The Old Man and the Sea. The following questions give the students the opportunity to recognize and manipulate symbols.

1. The last paragraphs of The Red Badge symbolically explain Henry's maturity. If the reader has been aware of the elaborate animal imagery involved with the landscape surrounding Henry, the change in the landscape is quite noticeable. The red demon-beast is gone, replaced by the tranquil sky; the heat replaced by rain. Discuss this change in class, then have the students write several paragraphs in which the surrounding objects (landscapes, buildings, streets, etc.) determine the interpretation of the passage. A definite event should be chosen (say, a deer hunt, a baseball game, a car accident) so the student doesn't just "describe" a scene. After this assignment, have the students rewrite their own paragraphs so that the "interpretation" reverses itself.

2. In The Old Man the symbolism is contained less in explicit metaphor than in the events of the novel; Santiago's cut hands, his kinship with the fish and the killing of the fish are "facts" and symbols, but not metaphors. The events of The Old Man function in two ways: as literal happening and as representatives of a higher, spiritual reality. The questions in the student packet should emphasize this dual nature of events to the student. Composition questions on this form of symbolism might be difficult, but careful guidance by the teacher would give the student some idea of symbolism. Have the students choose one important event (say, an automobile accident or a riot) and have it "stand for" a psychological or moral event. The riot might represent a confusion of mind, the accident man's inability to understand modern life. This is rather high powered for the eighth grade, but a good student should realize that there are abstractions behind concrete events and concrete objects can stand for these abstractions.

V. SUPPLEMENTARY TEXTS:

These are for individual reading and application of the concepts developed in the reading of the core books. The teacher may find he wishes to substitute a book from these lists for one of the core texts, in accordance with the needs of the class.

Courage

Short Stories: These are to be found in anthologies indicated, which are available in some schools.

"Annapurna" by Maurice Herzog (Pleasure in Literature)
"Shago" by James S. Pooler (Adventures in Reading)
"The New Kid" by Murrey Heyert (Pleasure in Literature) (Adventures in Living)
"Two Boys on a Mountain" by William Douglas (Adventures in American Literature)
"Contact with Danger" by John D. Craig (Worlds of People)
"The Hero" by Margaret Weymouth Jackson (Pleasure in Literature) (Adventures in Reading)
"The Lovely Night" by Shirley Jackson (Adventures for Today)
"Victory on Everest" from The Age of Mountaineering by James Ullman (Adventures in Appreciation)
"The Miracle of Scio" by Frank Siedel (Adventures for Today)
"Young Van Schuyler's Greatest Romance" by Al Capp (Adventures for Today)
"Baseball's Hero" by Paul Gallico (Adventures in Living)
"John Colter's Race for Life" by Stanley Vestal (Adventures for Americans)

Poems:

"Gunga Din" by Rudyard Kipling (Pleasure in Literature)
"The Ballad of East and West" by Rudyard Kipling (Adventures for Today)
"The Highwayman" by Alfred Noyes (Adventures for Today) (Worlds of People)
"Courage" by Helen Frazee-Bower (Prose & Poetry for Enjoyment)

Plays:

Norman Corwin, Ann Rutledge (Adventures in Living)

Long fiction:

Richard Byrd, Alone
Henry Felsen, Street Rod and Hot Rod (especially good for 3rd track boys)
Jack London, Call of the Wild and Island of the Blue Dolphins (especially good for girls)
Thor Heyerdahl, Kon-Tiki (true adventures)
J. Meade Falkner, Moonfleet (adventure, mystery, bravery)
Carl Sandburg, Abe Lincoln Grows Up
Robert Louis Stevenson, Treasure Island
Robert Louis Stevenson, Kidnapped

Justice

Short Stories:

"The Cask of Amontillado" by Edgar Allan Poe
"The Most Dangerous Game" by Richard Connell (Pleasure in Literature)
"The Tell-Tale Heart" by Edgar Allan Poe (Worlds of People)
"Black Cat" by Edgar Allan Poe

"Speckled Band" by Arthur Conan Doyle (Worlds of People)
"Ransom of Red Chief" by O. Henry (Adventures in Reading)
(Prose & Poetry for Enjoyment)
"Wolf and Lamb"--fable
"The Bishop's Beggar" by Stephen Vincent Benet
"Under the Lion's Paw" by Hamlin Garland (Main-Travelled Roads)
"Laborers in the Vineyard" selection from Mutiny on the Bounty in Pleasure in Literature

Radio Play:

"Sorry, Wrong Number" by Lucille Fletcher (Pleasure in Literature)

Poetry

"Leaden Eyed" by Vachel Lindsay

Long Fiction:

Nordoff and Hall, Mutiny on the Bounty
Robert Louis Stevenson, Kidnapped
Anthony Hope, Prisoner of Zenda
Walter Van Tillburg Clark, Ox-Bow Incident
Arthur Conan Doyle, Hound of the Baskervilles

Control

Short Stories:

"The Sculptor's Funeral" by Willa Cather
"The Silver Mine" by Selma Lagerlof (Adventures in Reading)

Long Fiction and Biography:

Joseph Conrad, Typhoon (difficult)
Charlotte Bronte, Jane Eyre
Emily Bronte, Wuthering Heights
Daniel Defoe, Robinson Crusoe
Eve Curie, Madame Curie
E. M. Forster, Where Angels Fear to Tread (difficult)
Catherine Drinker Bowen, Yankee from Olympus (difficult)
Clara Ingram Judson, Mr. Justice Holmes (easy)
Iris Noble, First Woman Ambulance Surgeon Emily Barringer
Gandhi, Autobiography (quite long)
Leo Tolstoy, Last Diaries (difficult)

A CURRICULUM FOR ENGLISH

Teacher Packet

THE JOURNEY NOVEL HERO:

THE PICARO

Grade 8

Copyright, The University of Nebraska, 1965
Experimental Materials
Nebraska Curriculum Development Center

Journey Novel Hero
(Grade 8)

CORE TEXTS :

Lazarillo de Tormes (trans. Harriet de Onis) Great Neck, New York: Barron's Educational Series, Inc. (75¢) All tracks

Miguel Cervantes. Don Quixote (abridged).New York: New American Library of World Literature, Inc. Mentor Book #MP407. (60¢) Tracks A and B

T. H. White. Sword and the Stone,in The Once and Future King. New York: Dell Publishing Co., Inc. Dell #6612 (95¢) All tracks

Alain LeSage. Gil Blas (abridged). Greenwich, Connecticut: Fawcett Publications, Inc. #T157 (75¢) Tracks A and B

Charles Dickens. The Pickwick Papers. New York: Washington Square Press, Inc. SWPW #1002. (90¢) Track A. This novel is not available in an inexpensive abridged edition Track A

NOTE:

The teacher should probably select two or three of the above novels for use as core texts. All students should read Lazarillo. The choice of the other text(s) should be guided by the student's reading ability. Above you will find suggested levels on which each of the tests may most profitably be used.

OUTLINE:

I. General Introduction

II. Objectives

III. Bibliography and Notes

  A. Critical Works
  B. Supplementary Student Reading
  C. Sundry Notes

IV. Articulation

V. Characteristics of the Journey Novel

  A. Its hero and form
  B. Satire and Humor in the Journey Novel
  C. The Journey Novel Hero as a Plaything of Fortune

VI. Suggestions for Handling the Introductory Materials

VII. Critical Essays and Composition Suggestions

  A. Lazarillo de Tormes
  B. Don Quixote
  C. Gil Blas
  D. Pickwick Papers
  E. Sword in the Stone

VIII. Language Exercises

IX. Further Composition Suggestions

I. General Introduction to the Materials in this Unit:

This packet contains statements of objectives for the unit; a brief bibliography of works on the journey novel and on the individual works covered by this unit; a list of novels for supplementary reading; background information and critical suggestions designed to aid the teachers; and suggested composition topics.

The student packet consists of some materials which will prepare the student for an intelligent reading of the journey novel and especially for an understanding of how the journey is often used as a device by which an author strings together a series of events all of which satirize society. The student packet also includes study and discussion questions on each of the core texts together with related language studies.

II. Objectives:

1. To present a selected group of journey novels that entertain the reader, reveal to him the follies and vices of particular societies and the persistent problems of human behavior, and imply ideal social patterns.

2. To provide students with those techniques that are necessary for handling the problems peculiar to journey novels.

3. To provide a meaningful basis for composition.

III. Bibliography:

A. Critical Works

Alter, Robert. Rogue's Progress: Studies in the Picaresque Novel. Cambridge, Mass., 1964. The best work available on the picaresque novel; defines the picaro and outlines the history of the picaresque; contains particularly good essays on Lazarillo and Gil Blas.

Battestin, Martin. "Introduction" to Joseph Andrews. Boston, 1961. Available in paperback (Riverside, B62). Treats Joseph Andrews as a picaresque novel and provides some help in making generalizations about the picaresque.

Chandler, F. W. The Literature of Roguery. 2 vols. Boston and New York, 1907. Traces the history of the picaresque novel.

Flores, A. and M. J. Bernadete, eds. Cervantes Across the Centuries. New York, 1947. A collection of essays that center for the most part on Don Quixote. All the schools of interpretation are represented here.

Lewis, R. W. B. The Picaresque Saint. Philadelphia, 1959. Mr. Lewis wants to say that any novel which has a quasi-criminal hero is a picaresque novel. A provocative work that needs to be read cautiously.

Mandel, Oscar. "The Function of the Norm in Don Quixote," Modern Philology, LV (February, 1958), 154-163.

Miller, J. Hillis. Charles Dickens: The World of His Novels. Cambridge, Mass, 1958. A helpful essay on Pickwick Papers.

Riley, E. E. *Cervantes' Theory of the Novel*. Oxford, 1962. A very helpful book, for it outlines Cervantes' attitude toward the epic and the romance and how Cervantes combined these two forms with the picaresque. One section entitled "Literature and Life in *Don Quixote*" is particularly significant.

Van Ghent, Dorothy. *The English Novel: Form and Function*. New York, 1953, 1961. Available in paperback (Harper TB1050). Contains an essay on *Don Quixote* that argues a different interpretation than the one presented in this packet.

NOTE: There is almost no material on T. H. White. What there is is in the form of reviews and of biographical sketches. If one needs help with his *Sword in the Stone*, consult a guide to periodical literature, especially for the years 1938-39 and 1962-64.

B. Supplementary Student Reading.

John Buchan. *Prester John*

John Bunyan. *Pilgrim's Progress* (Difficult)

Samuel Clemens. *A Connecticut Yankee in King Arthur's Court*

Huckleberry Finn

Innocents Abroad

Life on the Mississippi

Tom Sawyer

Daniel Defoe. *Robinson Crusoe*

Charles Dickens. *Great Expectations* (Difficult)

Oliver Twist

Grimm Brothers. *Fairy Tales*

Victor Hugo. *Les Miserables* (Difficult; should use abridged edition)

Jack London. *Call of the Wild*

Edison Marshall. *Benjamin Blake*

Robert Louis Stevenson. *Travels of a Donkey*

Treasure Island

J. D. Wyss. *Swiss Family Robinson.*

Sundry Notes:

1. No vocabulary lists have been included in either the students' or the teacher's packet. The teacher who is the best judge of the student's reading ability should probably provide for the students some kind of vocabulary aids suited to their reading level before they begin doing a reading assignment. However, since the meaning of a word depends on its context, one should avoid setting up vocabulary "drills."

2. No detailed procedures or methods have been included in this packet because it has been written with the assumption that the individual teacher knows how best to present the material.

3. The commentaries on the individual novels are not to be regarded as the only interpretations of these novels. They have, however, been written in order to show how these novels fit into the classification of journey novels and in order to lay out the way in which authors have used the principles of organization peculiar to the journey novel.

4. Because journey novels often center on the lower classes, the seamier side of life is often portrayed in journey novels. Hence, problems of decorum and taste may arise. Neither general nor detailed procedures are provided for handling such problems because the handling of these problems will necessarily vary according to the community, the students, and the feelings of the teacher.

IV Articulation:

This unit has as its primary purpose to present to the student those techniques by which he can intelligently read and interpret novels in which the hero goes on a journey. The unit concerns itself with two basic problems: the kinds of heroes that undertake journeys and the significance of their journeys. The first problem is especially important, for some of the heroes that the students will encounter do not appear in the least heroic. Nevertheless, since the unheroic hero has appeared in countless literary works, it is necessary that the students develop an understanding of the purposes for which an author may create such a hero. The second problem concerns the relationship of the journey-novel hero to his journey. The question that this problem raises is why the author chooses to send his unheroic hero on a journey. Hopefully, the students will perceive that the journeys are not mere adventure stories, but that they function as a device which enables the author to comment on significant moral and social issues.

This unit is designed so that the students gradually discover why an author may use an unheroic hero and why he sends him on a journey. The concept of the journeying, unheroic hero, or the picaro, as developed by means of a comparison-contrast method ; for this purpose a summary of the Odyssey, a biblical selection, a selection from Morte D'Arthur, and two fairy tales have been included in the student packet together with study and discussion questions.

V. Characteristics of the Journey Novel:

A. Its Hero and its Form

Although definitions or descriptions of types of novels are notoriously inadequate, it will prove helpful, nevertheless, if students can recognize the characteristics of the "picaresque" novel or the journey novel, especially those that distinguish it from other kinds of novels and other genres such as the epic and the romance. One should, however, avoid setting up a definition of an ideal journey novel and applying it mechanically to the novels which the students read, for the journey novel has been and is a living, shifting, and combining form. Rather than striving for a neat definition, one should perhaps start with a working definition and interpret that definition against the background of the development of the journey novel. The most important consideration in this unit is not the precision of the definition, but providing the student with a set of techniques by which he can learn to handle a particular kind of novel.

It would, therefore, probably be advisable not to confuse the students with an attempt at defining the journey novel or even with a general description of the journey hero. The characterization of the journey novel that follows, then, constitutes not a source for a lecture, but an outline of those principles which organize this unit and should be regarded as background information for the teacher which will aid in the handling of the introductory materials in the student packet.

Since the journey novel has its historical source in the picaresque novel, perhaps it would be advantageous to begin with a description of the picaresque. Moreover, since the picaresque shares certain characteristics with the epic, a discussion of the picaresque might well begin by comparing and contrasting it with the epic. The writers of epics and picaresque novels generally arrange their plots around a journey which may be geographical, allegorical, or both. The resultant plot usually falls into distinct episodes which are unified by character or theme. Moreover, a picaresque novel, Don Quixote for instance, may employ occasionally the high style of the epic. Finally, both the picaresque and the epic may be read allegorically, for the journeys of either are more than mere adventure stories.

The epic and the picaresque novel, however, differ in the kinds of heroes they exhibit. The epic hero usually represents the ideal and noble man emulated by a particular society or age, and the hardships and obstacles that the epic hero encounters on his journey usually force the hero to develop those qualities that are necessary for his founding or defending a particular social order. The hero of the picaresque novel, the picaro or rogue, however, is an apparent inversion of the epic hero, an anti-hero. Unlike the epic hero, the picaro usually does not practice the same kind of self-restraint and justice as does the epic hero, nor does the picaro learn to practice these virutes.

Unlike the epic hero, the picaro usually has no sense of social justice. The epic hero may punish others and even kill them, but he punishes or kills because he obeys his reason, not his passions. It is necessary and just, for instance, that Odysseus kill the suitors of Penelope in order to restore order and peace in his household and his homeland and to fulfill both his own and his society's destiny. The picaro, however, has little sense of social order or of personal or social destiny. If he practices the virtue of justice his justice is of a personal sort. Although the picaro's justice may be poetic justice, it often borders on revenge. Because the picaro has no sense of social justice or of providence, he does not consider the moral and social implications of his actions; his only consideration is that he preserve his life. Indeed, the picaro has a practical or pragmatic, rather than a moral, vision. Usually, the picaro because of his practicality does not envision an ideal society, but rather, he accepts the status quo and its conventions and, in order to gain livelihood, manipulates those conventions to his own ends. The picaro, then, usually lives by his wits, not according to some ethical system, and consequently the kind of justice he may practice is personal and pragmatic.

Although the picaro does not practice justice of the same sort as does the epic hero, he does hold to the virtue of temperance, but in a different way than does the epic hero. The epic hero usually learns that he cannot indulge in satisfying his passions or desires if he is to fulfill his destiny. Aeneas, for instance, cannot remain in Carthage with Dido and still fulfill the destiny ordained by the Fates. Again, Odysseus does not thawart his destiny or fate by eating lotus; he cannot if he is to reach Ithaca and restore peace there. The picaro, on the other hand, does not practice such obvious restraint, but neither does he allow his passions full sway over his reason. Although the picaro usually is struggling to survive physically and often has to forgo moral punctiliousness if he is to survive, deadly sins are alien to his nature. Because of his practical nature and because of his concern with merely surviving, the picaresque hero is incapable of thinking or rising to a new social position and does not become envious; because he contentedly accepts his servant-role and because of the humbleness of his station, he does not become proud; and, since his practical imagination limits his aspirations to providing for his survival, he never becomes greedy or avaricious; his end is survival, not the accumulation of wealth. Because he lives by his wits, he does not indulge in sensuality even if he could. The self-restraint of the picaro, however, differs from that of the epic hero, for whereas that of the epic hero derives from a sense of duty to his society and to his gods, the picaro's derives from a sense of duty not to society or to the gods, but to his own survival.

Although the picaro does not practice the same kinds of virtues as does the epic hero, one must distinguish the picaro from ordinary vagabonds, shysters, and criminals. The picaro, unlike the epic hero, is an outcast from, not a leader of, society, but he is a unique kind of outcast--not a leper cast out because he is a menace but the outcast who has been thrown out because other men have extended to him no concern or charity. If he is a trickster, he is one only because others have denied his natural right to preserve his being. Thus, the picaro is an inversion of the epic hero, but he lacks moral courage and is ignorant of social justice not because his will is corrupt, but because society has forced him outside its structure.

Generally, the picaro differs from the epic hero and even from such rogues as Moll in Moll Flanders because he remains static throughout the novel. The picaro's character does not develop. The author of an ideal picaresque does not, as do the writer of most novels or even epics, portray a character who grows or declines morally. Moreover, the author of a picaresque does not reveal the inner life or the psychological complexity of his hero. Although the picaro may undergo an initiation into experience at the beginning of the novel and although he may learn, he does not change for better or for worse.

The picaro, then, represents a character alienated from society not because of his acts but because of society's neglect of him or its actions toward him. He often engages in petty crime, usually theft, in order to survive, but his will is not corrupted. He lacks a sense of duty to anything outside himself, becomes an outcast of society, and does not even imagine an ideal society, let alone strive to establish one.

The author of the picaresque creates a picaro as we have described him for several reasons. He does not create a complex character of high social standing because the picaro is not the novel's center of attention; its center of attention is the structure of society. All the characters in the picaresque--not only the hero--are type characters, not psychologically "real" ones, and they generally represent various classes, social strata, and professions. The status of the picaro, however, unlike that of the other characters, is ambiguous, for, while he nominally belongs to society and usually functions as a servant, he is actually outside of society and independent. Not only does his practical imagination prevent him from becoming an integral part of society, but his acceptance of his position of nominal servitude frees him from many of the ordinary obligations to society. The picaro, while a servant, is also independent master. There are aesthetic reasons for such a character. Because the picaro exists outside society he maintains a distance from society. He tends to become a cynic. His author can look "objectively" through his eyes and perceive and expose social foibles and vices--not, of course, only because of the distance the picaro maintains and his consequent objectivity but also because the characters he encounters are types or representative characters.

If the author of a picaresque novel is the exposer of the faults of the members of society and the picaro is not the center of his attention, neither is his action. The plot may seem to lack artistic merit because it is episodic. But, the action is episodic because the author is not interested in showing how a certain course of action changes the hero and is not interested in showing how the hero influences the action. The episodic structure is essentially a satiric device which allows the author to manipulate his picaro so that he encounters one by one the representatives of most of the sundry classes and professions which make up his world and encounters them in such a way as to expose satirically their liabilities to moral failure. For instance, an author might have his picaro encounter a clergyman who bilks his people and the picaro as well to show that a man who should practice charity is a hypocrite or to imply that the clergy should reform itself.

Although these characteristics are usually associated with the picaresque novel, there is probably no one novel that possesses all of them. Lazarillo de Tormes, the first of the picaresque novels, and Dickens' Pickwick Papers probably approximate more nearly this conception of the picaresque novel than any other novels in this unit. This fact is due, at least in part, to artistic problems inherent in this form. The most persistent one is that because the picaro remains essentially static there is no convincing or logical end to the novel. This problem is most readily solved by manipulating the hero so that he either degenerates morally, finds for himself a place in society without changing morally, or improves both morally and socially.

It is not surprising, then, that authors of journey novels often combine elements of the picaresque novels with those of the epic and romance. Both the epic and the romance, like the picaresque, usually have society as their focus and the effectiveness of all three forms depends on the relationship of the hero to that society, either to its ideals or to its vices. The amalgamation of elements from the epic and romance with the picaresque novel solves the problem of the static hero, for almost inherent in the forms of the epic and romance is the concept of the changing hero. Historically, Cervantes was one of the first novelists to write what he called a prose epic, Don Quixote. Don Quixote, however, also employs elements characteristic of the picaresque and the romance. Since Don Quixote, several novelists have used the hybrid form conceived by Cervantes. Henry Fielding, for instance, says that Joseph Andrews is "written in imitation of the manner of Cervantes, author of Don Quixote." LeSage also casts Gil Blas into the form of an epic although his hero is unheroic and roguish. White's Sword in the Stone also belongs to the tradition that had its inception in Don Quixote. Although Wart differs radically from Cervantes' hero, both his character and his journey derive from the romance. The journey novel is distinguished from the picaresque novel mainly by the handling of the hero.

The picaro, if Lazarillo de Tormes is taken as the archetypal picaro, undergoes major changes. For instance, Don Quixote is not alienated from society by society, but by himself; he does so because, unlike Lazaro, he does not have to concern himself perpetually with providing for his own survival. Gil Blas also represents a major transformation of the picaro, for Gil Blas changes morally, becomes an integral part of the civil government, and loses the moral incorruptibility and the satiric distance that characterizes the picaro. In The Sword in the Stone, the most radical transformation of the picaro occurs. In this novel, the hero, like the picaro, is strictly speaking outside society, but unlike the picaro or Don Quixote, he is an outcast from society not because society neglects him, not because he has alienated himself, but because of his very goodness.

B. Satire and Humor in the Journey Novel:

One of the characteristics of the journey novel is its satirical purpose. Students who have studied the materials prepared for elementary grades will have encountered satire in their study of the fable. They will study how satire operates in Tale of Two Cities in the Historical Novel Hero unit, and, in the ninth grade, they will study satire in detail. Since the students will need to know about satire in order to read the journey novels and Tale of Two Cities, it is necessary to remind them how satire works in the fable or in tales. "Thumbling" and "The Three Languages," which are included in the student packet, provide such an opportunity. These tales should explain the theory of satire. Since the students will later study the various forms of satire in detail, this explanation can be simple and brief and limited to one kind of satire.

Satire is a literary device by which an author exposes, perhaps ridicules, wrong-headed attitudes and patterns of behavior. The satire in journey novels is usually social and not directed at individuals. Usually the author satirizes by comparing the attitudes and behavior of the characters in his novel--who are usually stereotypes of a social class or profession--with ideal attitudes and patterns of behavior. The author's point is that the discrepancy between the ideal and the actual should not exist and that the actual should be reformed so that it conforms more closely to the ideal. Satire in the journey novel, then, usually involves the stripping away of the pretensions of the characters.

One must, however, continually guard against assuming that because the author satirizes the attitudes or behavior of a particular class he is satirizing everyone in that class. Moreover, one must be particularly cautious when an author satirizes members of the religious establishment. Most of the authors studied in this unit do not criticize the church because they wish it out of existence; rather, they satirize those who pervert it for their own purposes. The same holds true about satire of officials in the civil government.

Often social satirists appear to pick on only the lower classes--the servants and functionaires of the civil and ecclesiastical governments. One must, however, beware of concluding that the satirist aims only at exposing the faults of the lower classes because he so often attacks the lower classes and not the upper echelons of society. When he satirizes the lower classes he is often implicitly satirizing the upper classes because, until the nineteenth century at least, they were responsible for the administration of justice and the moral life of the lower class. Hence, if the lower classes practice vice and hypocrisy, the upper classes, the logic of satire goes, must be failing to rule vice and hypocrisy.

Satire of any kind involves some kind of humor. In the picaresque novel, the humor usually operates on two levels. Because the picaro or rogue hero usually belongs to the servant class, one common kind of humor is slapstick, the humor of amusing actions. The other kind of humor is more subtle and sophisticated. Humor other than slapstick usually involves the comparison of the status quo to a conception of an ideal situation. Thus, in the journey novel, much of the humor derives from the exposing of the discrepancy between what is and what ought to be. The social satirist uses this kind of humor to "laugh" his objects of satire into more acceptable patterns of action. One must, then, constantly remember that the satirist's humor has a moral purpose. In order to produce this morally-oriented humor, the satirist often creates a fiction which appears to "oversimplify" and "overgeneralize." For instance, when the satirist exposes one kind of fictional civil servant, say a judge, he often will appear to imply that all judges are corrupt. The implication gives his fiction force but it cannot be taken at face value; the satirist's purpose is to expose corruption. One must not read a social satire as an accurate and realistic description of a particular society.

Because the social satirist simplifies in order to set forth his moral vision and because his characters generally represent an entire class, he usually creates grotesques, characters that are absurd and psychologically invalid according to realistic standards. This principle is of prime importance in the social satire; it will be necessary to emphasize it so that students understand how it works, for this principle is especially alien to our psychologically oriented society. One must generally avoid assigning or looking for complicated motives in social satire. The author usually assigns his characters attitudes or motives, either morally bad or morally good, but usually the former; moral ambiguities and problematic situations find little place in his work.

Teaching Suggestion:

Columns by modern social satirists, e.g. Art Buchwald and Russell Baker, might be used to demonstrate the principles of social satire. Cartoons often employ social satire and might be used for the same purpose. Cartoons are especially valuable for demonstrating the creation of "grotesques" to make a satiric point. The cartoonist, in making a caricature, exaggerates certain features in order to suggest character (Krushchev's scowl) or personality (Eisenhower's grin) just as does the social satirist in sketching a grotesque.

C. The Journey Novel Hero as a Play Thing of Fortune:

The authors of the picaresque novels often have their heroes refer to themselves as victims of fortune. The concept of fortune and the allied concept of providence are complicated and an understanding of them assumes at least some acquaintance with theological thinking. It might be well, therefore, to refrain from introducing students to these concepts in a lecture. Nevertheless, students may find problems in the novel that can be solved only by their understanding these two concepts. The following outline of the basic Western post-classical notions about providence and fortune should provide the teacher with sufficient resources for handling such problems, but it makes no pretension of being complete. For a detailed discussion of these concepts Boethius' *Consolation of Philosophy* is the best source.

Providence is the notion that God controls the workings of the universe and the course of history. God is omnipotent and omniscient; nothing is or happens that lies outside his power or his knowledge. That all is in God's power and knowledge does not imply that man lacks free will. Even though God has perfect foreknowledge of a man's actions, He does not determine man's actions for man is free to choose or refuse a particular course of action. An analogy might clarify this idea: if I see someone rise from his chair in this room and start for the door, I know with almost absolute certainty that he will walk out the door. Yet, I have not determined his action. This analogy cannot be literally applied. My foreknowledge is based on my past experience and my experience is limited enough to allow for accidents which would violate my foreknowledge. God's foreknowledge, on the other hand, is perfect. If the person walking should, for instance, suffer a heart attack before he reaches the door, my foreknowledge would be imperfect, but God, according to this theory, would foreknow the heart attack.

A heart attack, for the authors of *Lazarillo*, *Don Quixote*, and perhaps *Gil Blas*, would be regarded as an instance of fortune's operation. Fortune is that concept which is used to describe those events which from man's point of view apparently have no knowable cause and happen apparently at random though they may happen as the result of the operation of material forces or as the result of superrational revelation. Nevertheless, according to the theorists, fortune is an instrument of Providence, for Providence can employ means that transcend human reason. Events, then, that are described in terms of fortune are always a result of Providence. Providence may use these events for several reasons, but usually they are thought of as means for testing virtuous and holy men, as in the *Book of Job*, in order to increase their virtue and holiness and to remind them of the necessity of relying on Providence rather than on wills, their own riches and goods, or as a means by which Providence punishes vicious and wicked men. This punishment is chastisement, for it functions as a means by which a wicked man may be brought to his senses so that he may reform.

The good man, then, relies on God's Providence, conforms his will to God's, and regards all events, whether they give or take away material goods, position, or pleasure, as the result of God's Providence. Sir Gawaine, for instance, in the selection from Malory in the student packet, attributes his victory over the Saracen to Providence rather than to his own prowess in battle. The fool of fortune, or the wicked man, on the other hand, would ascribe such a victory to his own ability and regard the wealth or prestige which it gave him as something given him for his pleasure. If he were defeated, he would blame fortune, whereas Gawain if defeated would supposedly view it as sign from God, perhaps as a reminder to him that his own strength is fallible. The fool of fortune, then, does not recognize the relationship between fortune and Providence. He thinks that fortune, not Providence, controls history, does not see the Providence in fortune's gifts and denials--that these are tests and opportunities, and comes to believe that his own will is of no avail in situations where he is not in material control of events. He does not see that one can will to see the providential meaning of an event. Therefore, he describes himself as the victim or plaything of fortune, and refuses to see that fortuitous events have their origin in Providence and are intended to instruct him about his pride and failure to rely on God's will.

In the picaresque novel, the hero often comes to regard himself as a pawn of fortune. The evidence of his experiences suggests that he is, for he continually finds himself in situations in which he suffers--perhaps comically--situations that apparently are not given by the hand of Providence. The picaro, however, usually finds himself in these situations because other men have allied themselves to fortune rather than to Providence and have become too greedy and too commited to material goods. The picaro's vision of fortune as in control has its source in the attitudes of the society to which he is introduced. The author of a picaresque novel will often have his hero become a fool for a time in order to criticize the general attitudes of a society. By so doing, he points out how men rely on themselves rather than on God, even though they may claim to rely on God's will. The author of Lazarillo does this in the speeches of Lazaro when the "angelic" tinker visits the priest's house. Moreover, the author of the picaresque often uses the concepts of Providence and fortune to explain the corruption within a society. For instance, Gil Blas and his associates, in those episodes when he is employed by the Duke of Lerma, are fools of fortune; that is, they have committed themselves to their own selfish interests without any regard for what they can do for other men or for God with their wealth--without any regard for the Providence in their good fortune. They fail to perceive that their power is from God and is to be used in order to carry out his will, which in social terms, means the administration of justice and the practicing of charity. Fortune, however, deals with them as it does with all men who commit themselves to fortune--eventually they are struck down from their high positions. Their fall represents Providence's use of fortune in order to right undesirable circumstances.

In Don Quixote, Providence and fortune are referred to often. Don Quixote is a fool of fortune from the moment he sets out, although he claims to be a servant of Providence and indeed one time even says he is "in His service." In spite of his protestations to the contrary, Don Quixote has firmly committed himself to fortune, which is symbolized in his Dulcinea. He continually calls upon her to strengthen his sword arm, and if he does not ascribe his "victories" to himself, he ascribes them to Dulcinea. Never does he account for his "victories" by referring to God. If he did, of course, Cervantes would upset the framework and frustrate one of his purposes, for one of the moral points of Don Quixote is that the fool of fortune destroys what justice there is and is a disruptor of the peace. Don Quixote's drubbings and misfortunes, especially in the first part, are indeed an act of fortune, but they are an act of fortune in the control of providence, for they are intended to instruct him that he should return home. Sancho perceives that this is the purpose of these misfortunes, although he does not offer a sophisticated defense of his perception. Don Quixote probably should recognize the purpose behind his misfortunes and return home in order to fulfill his responsibilities. Sancho, however, also becomes a fool of fortune, for he believes that Don Quixote will make good his promise of a governorship. He disregards the lesson of the drubbings, bull-headedly persists in his illusion, and neglects his rightful role in society. Finally, when the promise is fulfilled, suffering teaches Sancho how he should behave.

Teaching Suggestion:

If students should wonder about the continual references to fortune and Providence, one should not dismiss their curiosity as unwarranted. Rather one should aid them in understanding these concepts. However, one probably should not indulge in abstract theory, for there are other ways of explaining these concepts that are more comprehensible. One might, for instance, use Luke 12: 24-30 ("Consider the lilies") in order to teach the concept of Providence. The story of Job is a good example of the way Providence uses fortune as a means for testing the virtuous man, and the parable of the prodigal son would serve as an example of the way in which Providence uses fortune (famine, in this case) to instruct the wicked man about how he should conduct himself.

VI Suggestions for Handling the Introductory Materials:

The study questions in the student packet are so designed that the students themselves should be able to discover how the journey novel is related to the epic, the romance, and parables with a journey motif. In their reading and discussion of the summary of Odysseus, the students should learn that Odysseus' character and particularly the heroic virtues he displays in the episodes with the Sirens (temperance), Cyclops (courage), and the suitors (justice) are closely related to his journey. Moreover, the students should find that the imaginary creatures like the Lotus-eaters and Cyclops are not intended as representations of "reality" but as devices by which the author manifests Odysseus' virtue. Finally, the students should see that the journey is not merely adventure, although it is that, but that it represents the making of a hero.

The episode from Le Morte d'Arthur, together with the prefatory materials, is included in the student packet for two reasons: it introduces the students not only to an antecedent of the journey novel and to a particular kind of journey hero but also to concepts necessary for an intelligent reading of Don Quixote and Sword in the Stone. Initially, however, the episode should be used to illustrate how the knight-errant functions as a journey hero. The students should, after reading the selections from John of Salisbury, see that Arthur and his men journey about Europe in order to rid it of the Saracens (Moslems), for the Moslems are enemies of the faith to which the knight-errant has sworn his allegiance. The particular episode presented to the students illustrates how the good knight fulfills his vow to his God and his king and how he, like Odysseus, practices heroic virtue.

The parable of the Prodigal Son introduces the students to a hero more like the picaro than like Odysseus or the knight-errant. This parable is included not because of its theological significance for Christians but because of its use of a journey as an organizational principle. The prodigal son represents the antithesis of the epic hero. He exhibits no kind of virtue, only discontent and pride. His journey, however, represents an initiation into the world and a learning experience by which he learns the necessity of the virtue of humility. Since the journey novel belongs to literature of experience and learning, this parable is particularly useful for teaching students how an author uses the journey as a means of educating his hero.

The students may want to dismiss the two fairy tales in the student packet as frivolous and unworthy of serious attention. However, these two tales are not only artistically sound but also are particularly instructive for the purposes of this unit, since both of them are picaresque novels in miniature. "Thumbling" should lead the student to see how society and nature victimize those who are innocent and defenseless. This story provides an especially good opportunity to emphasize that the center of attention in the journey novel is often the vices and abuses in society rather than the hero or the plot. Moreover, this story, like the usual journey novel, has an episodic structure which is unified by the journey motif and by the satire which exposes the faults of the adult world. "Three Languages," like "Thumbling," is essentially a picaresque story, but it differs in that the characters whom the hero encounters represent more exactly different classes of society. The plot follows the familiar pattern of alienation from home and the eventual creation of a new and better one. While on his three journeys the youth learns the languages of the dogs, birds, and frogs. These animals function as emblems for the classes in the traditional social hierarchy: nobility, clergy and commoners. By having the youth learn from animals the author suggests that the youth has learned from nature what are the roles of each of the three classes. Because he has learned what the role of each class is, the youth is able to handle the follies and abuses of each class, particularly the nobility and the clergy. This story provides, then, a good opportunity for the students to learn how the author of a journey novel satirizes society. For instance, the clergyman are satirized because they engage in magic when they choose their spiritual leader; the nobles are satirized because they do not rid society of a very real menace.

When these materials have been read and discussed, the students should use the discussion questions at the end of this section in order to formulate the general characteristics of the journey novel and its hero. If the students are reminded that the fairy tales are similar to the picaresque novel and that novelists have combined the picaresque with the epic and romance, they should be able to suggest the various ways in which an author may exploit the thematic possibilities of the form of picaresque and journey novels.

Suggested Composition Topics: Introductory Materials

Note: The composition suggestions in this packet are only suggestions. They are not to be regarded as sacrosanct. They may be used as they stand, changed, or ignored. How they are used should be determined by the ability of the students. Only a few suggestions for creative composition have been included, for such assignments must be more carefully designed for individual students than expository ones. Whatever kind of assignment is given, it should have its basis in class discussion but should allow the student to explore imaginatively the material at hand. The purpose of these assignments is to provide the students with a meaningful basis for composition, whether that composition is expository or creative.

Introductory Materials:

1. Write a short fiction which is organized around a journey, has a hero like Thumbling, and satirizes society or some aspect of it. These compositions then could be read aloud in class and the students could try to determine if the author used the principles of the journey novel and how they are used.

2. Compare and contrast Odysseus, the prodigal son, or Sir Gawain with Thumbling or the youth in "Three Languages." Pay particular attention to the heroes' relationship to their journeys.

3. Compare the significance of the prodigal son's journey with that of the youth in "Three Languages"; or the journey of Odysseus with that of Thumbling.

VII Critical Essays and Composition Suggestions

A. Lazarillo de Tormes:

Lazarillo de Tormes is a particularly instructive novel for the purposes of this unit, for it represents perhaps the purest picaresque novel in all Western literature. Lazarillo was published in 1554 and it bequeathed to literary history a form that has lived on in novels such as Don Quixote, Gil Blas, Joseph Andrews and Pickwick Papers. Lazarillo, however, is included in this unit not only because of its historical significance but also because of its artistic integrity.

The teacher will probably have little difficulty in generating interest in Lazarillo's escapades, for the comic scenes should delight junior high students. Moreover, students will probably enjoy the author's exposé of the sham and hypocrisy of Spanish society during its Golden Age. There is more to the novel; however, than good fun, for it rests upon the author's assumption of certain background information and concepts which, if provided to the students in palatable form, will enhance for them the significance of this novel.

Part of the impetus for the writing of Lazarillo lay in the economic conditions that prevailed in the Spain of the Golden Age. In the yearsimmediately before and after the publication of this novel,Spain commanded the mightiest military power in Europe. The discovery and conquest of sections of the New World and the subsequent exploitation of them had sent wealth flowing into Spain at a phenomenal rate. Spain then was both powerful and wealthy, but Spain represented a gigantic parasite,and its power was sustained by institutions shot through with corruption. Spain's formerly sound economic foundation had slowly eroded ever since 1492, when the Jews and Moors were expelled. Although this expulsion was done in the name of Christianity, it brought disastrous economic effects, for Spain had drained itself of much of its most productive manpower. Consequently, the productivity of both its agriculture and its domestic industries dropped considerably.

The discovery of gold also exerted, paradoxically, an evil influence on the Spanish economy. Although the discovery of gold in America provided an apparently inexhaustible source of income for the noble class, it also led them to purchase luxury items from France rather than less desirable Spanish products. Because the wealthy could obtain their desired products from France, they failed to stimulate domestic industry. Moreover, because of the new wealth and because of the drop in agricultural output, Spain, which had once been the bread basket of Western Europe, began to import wheat. Spain's golden blessing, then, became a curse. The new wealth allowed the nobles to forsake their responsibility for diligently administering Spain's economy and society and to turn instead to attempting to increase the glory of Christianity, of Spain, and of themselves by fighting wars on the continent, by seeking gold in America, or by competing for the most profitable posts in the government. Deprived of economic stimulus, plagued by unemployment, and neglected by the upper class, the lower class faced starvation because of the high price of bread and consequently turned to begging and roguery. The whole society of Spain's Golden age, then, was parasitic; the noble class lived off American gold and foreign industrial and agricultural productivity,and the lower classes, in turn, lived off the noble classes. Because of these economic conditions, Spain, in spite of its apparent might and especially its sea power and in spite of its many dependencies abroad,was in imminent danger of degenerating into a second-class nation.

These economic and social conditions account for the constant threat of starvation that plagues Lazarillo's life, and they explain why he and the other characters in the novel are parasites of society and engage in beggary and roguery. The author of Lazarillo, however, does not content himself with merely representing realistically the social and economic plight of the lower classes. Indeed, the realism in Lazarillo is a fictional rather than an accurate realism. It is not the realism of the historian but of an author who clearly ties his devastating satire to very real conditions that have their source in undesirable attitudes and principles of human behavior.

The author of Lazarillo directs his satire against the lower class, which has turned to beggary and roguery, and against functionaires of the church and state, e.g., the pardoner, the constable, and the squire. This satire is obvious and easily perceived. The author, however, by satirizing the lesser officials of the ecclesiastical and civil governments, also satirizes those in the governmental hierarchies who are responsible for policing and controlling those lesser officials. The satire finds its basis in a conservative, traditional conception of the structure of society based upon the responsibilities of the various classes. The basic metaphor is the pyramid. Each level is responsible for that immediately beneath it and to that immediately above it. The parish priest, for instance, is responsible for the souls of his parishioners; the bishop is responsible for his priests as well as the parishioners. The same relationships exist in the civil hierarchy, except that the responsibility is for physical rather than spiritual well-being. Thus, when the author of Lazarillo satirizes the priest or the pardoner, he is also satirizing the bishops and the archbishops; when he satirizes the constable or the squire, he is satirizing those in the higher echelons of civil power and responsibility as well. One must remember, however, that the author is not criticizing the philosophy that undergirds the structure of either the civil or ecclesiastical governments. Rather, he criticizes the misuse of the power that those in either government possess, for he assumes that with power comes the responsibility to exercise it for the common good.

This ideal is implied throughout the novel, but particularly in the uses of biblical and theological concepts. The name Lazarillo or Lazaro, for instance, comes from the biblical parable about Lazarus and Dives. Although this parable has often been interpreted as an exemplum about the Christian belief in after-life and in eternal rewards and punishments, it also has significant social implications. Indeed, one could say that Lazarillo represents an extended application of this parable to Spanish society. Dives parallels the wealthy noble classes who have abdicated their responsibility to the starving lower classes, and Lazarus' plight parallels that of the lower class. These parallels, however, do not exhaust the significance that this parable has for the novel, for the author of Lazarillo could assume that his readers, most of whom must have been noblemen and clergymen, were acquainted with the end of the parable and particularly with Dives' eternal punishment. Since the author assumes this acquaintance, he is implying not only that the upper classes should conduct themselves differently but also that the upper classes will be held responsible for their neglect of and the condition of the lower classes.

The author exposes the extreme poverty and hardships of the lower classes that result from the civil maladministration and the spiritual poverty of the same class that results from the neglect of the lords spiritual. Both the clergy and the noble class have inverted the traditional scale of values and sought to fulfill their own wills rather than God's. This inversion is reflected in the attitudes of the lower class. When, for instance, the blind beggar claps Lazaro's head against the statue, he introduces Lazaro to a harsh, cynical, and "desacramentalized" world. The upside-down nature of this world is clearly indicated in the ironical references to the sacraments. The blind man, for instance, baptizes Lazaro with wine and says that it engendered life in him several times, but the life it gives is not the Christian life. Later, when with the priest, Lazaro looks at the bread and says that he sees "the face of God in the form of loaves of bread." This bread, however, is not the sacramental bread transformed during the elevation of the host nor the "bread of life" that St. John speaks of. Instead, this bread has been transformed into a god not by miraculous power but by necessity. Later, Lazaro indicates how he worships this very real, unsacramental bread when he says that he looks at the bread and does not touch it in spite of his hunger because of his awe.

Lazaro's attitude toward Providence is another instance of the desacramentalized, materialistic, hypocritical world which he has encountered. Although Lazaro continually talks about Providence, there is for him no Providence. Life has so overwhelmed him that he has found belief in Providence impossible and has therefore substituted for that belief reliance on his own wits and physical prowess. This is illustrated most clearly in the incident of the tinker who provides Lazaro with a key to the food chest. Lazaro refers to the tinker as an "angel" and as an "angelic tinker"; but in the same breath Lazaro says that the tinker "happened" to call, or, in other words, called "by chance." At the same time, Lazaro claims that he is inspired by the Holy Spirit when he asked the tinker for a key although he knows full well that he has not been so inspired and has instead employed his wits in order to bilk the priest of bread. Lazaro, however, does not let such contradictions bother him, for his experiences have taught him to do as others do and veil his actions with pious words. He has found that it pays to defend immoral and questionable actions by misapplying Christian theology.

Lazaro's misapplication of Christian theory, however, does not derive from a inherently corrupt will. Rather, he has been taught and is continuously taught by masters of hypocrisy. The beggar is a hermit who lives by exploiting religion; he is a religious highwayman who veils his bilking of the common people and his cynical attitudes toward life with a sanctimonious face and sham piety. The priest is more interested in the offertory than in the sacrament of Holy Communion; he administers the last rites only in order to fill his belly at the wake. He starves Lazaro while mouthing words about the virtue of temperance and then proceeds to eat like a glutton. Lazaro's first two masters, then, masquerade as holy men. The blind beggar plays upon the ignorance and credulousness of the people; the priest perverts his holy office for his own ends.

Lazaro's next master, the squire, introduces him to hypocrisy that prevails in civil government. The squire tells Lazaro that he is from Castile. This information is included by the author because it tells the reader familiar with Spain that the squire comes from a section of the country that was literally plagued with nobles and those who wished to be nobles. The nobility in Castile during the 15th century had risen to their greatest glory and had succeeded to a large degree in undermining royal power. Moreoever, the Castilian nobility had gained control of the most profitable governmental posts and of the most powerful and enriching positions in Spain's colonies. The squire, then, represents the worst of Spain's nobles, for not only did the nobles pervert their governmental offices but also they had rebelled against legitimately established civil power. The author of Lazarillo however is satirizing not only those segments of society represented by the various characters in the novel but also those who are responsible for allowing corruption and exploitation to exist. For instance, as we have noted, the priest in the novel is certainly a corrupt one. He is for instance, more interested in the offertory than in the sacrament of the Eucharist. The priest, then, deserves to have his vices exposed, and the satire in this section devastatingly points out the materialistic values of the people's spiritual guardian. The satire, however, does not stop with the priest, but by implication at least, the author is satirizing the priest's superiors, the men who allow the practices of the priest. For instance, the author may have in mind those church administrators who allow a man to become a priest by paying a sum of money rather than by studying. The priest, then, represents not only the kind of hypocrisy and corruption which may have prevailed on the parish level but also the kind that could have pervaded the entire hierarchy of the church in Spain. The point of the section about the priest is that corruption in the upper echelons of the clergy is responsible for corruption in the parishes.

The squire is not a "high-class" but a "low-class" nobleman. His description of his holdings, which he presents in the most favorable light, indicates that he is worth little, that he is a hildago or (a poor nobleman) who lives in genteel poverty at best. Nevertheless, he is proud of being a nobleman given to idleness because he considers work undignified. In his pride and sloth, then, the squire attempts to maintain his dignity, even though his manner of life results in the greatest poverty. His clothes mark him as a man of quality and his bearing as a noble--noble only in appearance. He is the picture of the most parasitic of all the Spanish social classes, for his class serves no political purposes and continues to subsist only because of inherited prestige and wealth. The squire, in short, represents a useless appendage of Spanish society that should be amputated.

In the episode with the pardoner and the constable, Lazaro witnesses clerical corruption in collaboration with civil corruption. The pardoner sells indulgences. Indulgences were not, however, merchandise. Indulgences represented the Roman church's power to remit either all or some of the punishment due to sins. But this remission of sin could not be obtained by mere monetary payment; it required hearty and true sorrow for one's sin, not because of fear of punishment but because that sin had offended God. In other words, the effectiveness of the indulgence depended upon one's being truly and completely penitent. The episode about the pardoner and the constable, then, satirizes the way in which functionaires of both governments were allowed by their superiors, or even hired by them, to pervert for their own advantage a tradition that had been established to encourage the nurturing of souls and to promote penitence for sin. Indeed, the people themselves are satirized for mistaking pretended magic for a miracle, but the greater satire is aimed at those who allow and foster this decption of the people and, from the author's point of view, the deliberate and ultimate damnation of their souls.

In the last two scenes of this novel we find that Lazaro has learned how to get along in his corrupt society. In the first of the last two chapters, he sells water for a chaplain. Lazaro here participates in the corruption of the ecclesiastical establishment, but not in the worst kind, which the pardoner represents. Lazaro tells us that this is his first step toward good living. But he begins his ascent up the "ladder of good living" by working for a chaplain who is the spiritual adviser of the bishop and who simultaneously engages in a capitalistic enterprise unbecoming his role as a bishop's spiritual adviser. Lazaro has become a respectable parasite. In the last chapter, Lazaro becomes a town crier, but this is a governmental position and allows him to participate in civil corruption--so much so, in fact, that he receives a percentage of the wine seller's profits. Lazaro also has learned how to be a hypocrite, for he pretends that his wife is a virtuous woman in spite of the rather obvious hints that she is the archbishop's mistress. He has, in short, become a full-fledged member of society, and in doing so he has lost that distance from society that allows him to perceive its faults and the follies and vices of its members.

Lazarillo de Tormes: Composition Topics

1. Someone has said that "Lazarillo de Tormes is a real story about a real Spanish boy." Defend or attack this idea. Support your argument with details from the novel.

2. One of the objections that readers often raise is that the author of Lazarillo attacks only the poor people. Write an essay in which you either sustain this objection or show that the author is by implication satirizing the upper classes as well. Pay particular attention to the parallels between Lazarillo de Tormes and the parable about Dives and Lazarus.

3. "Thumbling" and Lazarillo are alike in many respects. Show how Thumbling and Lazaro are alike, especially in the way society treats them.

4. A critic has said that the basic situation in the picaresque novel is that the hero is alone in the world. Does this statement apply to Lazarillo?

5. Lazaro is an ambigious character who is neither wholly bad nor wholly good. Describe Lazaro in such a way that you account for both his good and evil tendencies.

6. One of the characteristics of the picaresque novel is its episodic plot. Write an essay in which you show why the author uses such a plot or what the author is able to do by constructing such a plot.

B. Don Quixote:

Don Quixote finds its place in this unit not only because of its significance for literary history but also because of its use of the journey as an organizational principle. Reading Don Quixote may appear a formidable task to assign juniorhigh students, and it would be if an unabridged edition were used. The recommended edition, however, is excellently abridged and the translation is highly readable. Moreoever, if the reading assignments are kept reasonable and are not so burdensome that the student will neglect the study questions, the student should be able to read this novel intelligently and the teacher's direction will lead him to discover more fully the "meaning" of the novel. Perhaps one should be satisifed with having students read only parts rather than the whole of the novel. Therefore, it might be well to plan on reading only the first part (to p. 204). One might discover, however, that after the students have overcome their initial fear of reading from a four hundred page volume they will find that Don Quixote merits reading and their serious attention and effort and will want to read Part II.

One of the difficulties in teaching any novel written prior to the twentieth century is that one has to instruct the students about the beliefs and attitudes of a particular age. Don Quixote is particularly difficult for the modern reader because Cervantes assumes that his reader is acquainted with both the ideals of chivalry and books about chivalry. Moreover, all the characters he creates have very real counterparts in his society. Therefore, it is essential that the teacher provide for the students the background material necessary for an intelligent reading of this novel. Much of the necessary background material is provided for the students in the quotations from John of Salisbury and in their study questions. However, since the teacher might find it helpful to have the material organized and since the teacher may wish to present it to students in the form of short lectures, the essay on Don Quixote is included in this packet. However, it is intended primarily for the teacher; one should not lecture it undigested to the students. Moreover, one need more than the essay which follows in order to teach Don Quixote.

The chief problem in Don Quixote is the hero. Critics violently disagree in their interpretations of him. Some think that he represents a kind of analogy with Christ; some that he represents Cervante's conception of the noble and ideal man; some that he is the butt of Cervante's satire. The latter view is developed here because it avoids the tendency of the advocates of the other views to give free and complete rein to their imagination, so much so, in fact, that at times they neglect the text, Cervante's own view of man and his world, and the historical circumstances and social conditions in which the novel is set.

In the opening chapter of the novel, the author introduces the hero as a poor nobleman, or a hidalgo. He is a country hidalgo and has but a bit of land which provides him with a rather parsimonious living. Even though he has a small income, three-fourths of which is used to buy food and the other fourth to buy clothes, Don Quixote is too proud to work. Because he is proudly idle, Don Quixote neglects his own affairs and becomes a devotee of chivalric novels, so much so that he loses his wits completely. Don Quixote's madness, according to the author, stems from his reading of novels of chivalry. The authors of these novels from Cervante's point of view usually fail to distinguish between fiction and history and often intertwine the fantastic and the putatively historical in such a way as to suggest that they take neither seriously and that they are not interested in sustaining any one mode. This characteristic of the novel of chivalry induces Don Quixote to make the same mistake; he too does not distinguish history and literature but he takes the fiction to be history, and sets out to live literature. This is the basic confusion in Don Quixote's mind.

Cervantes manages to bring together two kinds of satire in his hero: social satire and literary satire. One of the prime objects of satire is the novel of chivalry. The novels of chivalry are satirized primarily by showing how they corrupt the hero. Don Quixote functions as the instrument for this literary satire, for he has allowed himself to be made insane by chivalry novels. The social satire, as far as the hero is concerned, is directed against the hidalgo class. Because Don Quixote neglects his civil responsibilities and because he thinks he is so noble that work is beneath him, he sets out to imitate those fictional chivalric heroes whom he emulates and to right the wrongs in society. When he does so, he claims to be a knight-errant. Theoretically, the knight-errant is a servant both of the king and of God; when he takes the vow of knighthood, he pledges himself to effecting God's will on earth and to carrying out the commands of his king. The knight-errant class could be a significant power for the promotion of the common good and the defense and extension of justice. One does not, however, elect by himself to become a knight: he must be called into service by a king or ruler who elects only those men of good reputation and good and moral character. Only after he is elected by the ruler can the knight take his vow. Cervantes demonstrates, in his hero, how this concept of knighthood, how this chivaric ideal, can be and has been perverted. No king, has called Don

Quixote into his service; but the hero decides to become a knight-errant "both for his own honour and for the service of the state." The former motivation is the stronger, for his desire is to win everlasting honour and renown and to have his heroic deeds recorded in a novel, or as he would say, to have his history written down. His motivation, then, is perhaps imperfect.

Cervantes shows in the description of Don Quixote's armor, how far his hero has strayed from the correct conception of knighthood. The armor of the knight was understood in terms of St. Paul's description of the "full armor of God"--the passage reproduced in the student packet, but Don Quixote's armor had been his great-grandfather's and is not his own. It represents not his own but his ancestor's faith. The rust on his armor tells us that Don Quixote has neglected something. Another indication of the character of Don Quixote's folly is his notion that he must have, as do his fictional heroes, a lady for whom he can undertake his adventures. Without a lady, he says he would be a "tree without leaves and fruit--a body without a soul." Don Quixote has deceived himself by pledging his allegiance to a lady rather than to more public or more religious ideals, and the fruits which he produces are not exactly fruits of the spirit (Galatians 6: 19-23). Even in the first chapter, Cervantes presents a knight who is not a knight, in more senses than one--not a servant of the common weal. Don Quixote's subsequent adventures are entirely predictable after this initial description. He attacks, one after another, "foes" that are harmless, foes which have done nothing to merit his "punishing". His chastisements come out of a curious-mad conception of justice and a proud-mad desire for glory. The merchants and muleteers (I, 4); the windmills (I, 7), the Yanguesans (I, 8); the sheep (I, 11); the barber (I, 13); the wineskins (I, 21)--all are harmless foes whom Quixote attacks without provocation. Other interventions seem justifiable. The incident about Andrew and his master (I, 4) is perhaps the best example, but Don Quixote, in spite of his apparent doing of justice, does it blindly without bothering to investigate the situation and to determine who is to be punished. Even if Andrew is right, Don Quixote's intervention only results in more whippings for Andrew.

The case of the monks (I, 7) presents a problem, for they probably should not be riding out in the world, but should be, since they are Benedictine monks, in their cloisters. One perhaps has to suspend judgment on this case because the monks may have had permission to travel. Nevertheless, one tends to think that the monks should be attacked for they obviously do not have contempt for the things of the world. They carry sun-shades, wear dust-masks and ride mules rather than walk. This incident brings us to a distinction that is fundamental to an understanding of Cervantes' satirical method. Although Cervantes satirizes the class to which Don Quixote belongs and novels of chivalry by making his hero pervert the ideal of chivalry and the concept of justice and by portraying that perversion in Don Quixote's attacks on harmless "foes," Cervantes does not neglect exposing the real wrongs that exist in society. Thus, the satire in this novel moves on two levels: it shows what real wrongs exist and shows how not to right them. The Benedictine monks are a case in point. Although they should be reformed, they can not be reformed by Don Quixote's method. Their perversion of the monastic ideal inheres in their attitude and can be corrected only by ecclesiastical discipline.

The same kind of satire is directed at the priest who escorts the corpse (I, 7). Cervantes notes that the saddlebags that Sancho raids were "well furnished with belly ware." Again, however, Don Quixote's attack is motivated not by a desire to reform the priests but to promote his own glory by avenging the supposed knight's death.

Cervantes also satirizes civil authorities, most notably probably in Don Quixote's speech just before he frees the prisoners (I, 3). Cervantes probably means to expose corruption in civil government when he has Don Quixote attribute the prisoners' sentences to their lack of influential friends, their want of money, and their failure to find an unbiased judge. Since Don Quixote's remedy for this situation worsens it, Cervante point may be that although there is injustice in a situation where some of those who violate the laws which the prisoners violate are not punished because of social position, nevertheless, Don Quixote argues for the absurd position that, because some escape their due punishment, all should.

Two problems remain: Quixote's apparent maltreatment at the hands of society and his gradual improvement in the second part. There are several incidents in which Don Quixote appears to be victimized unjustly by society. Maritornes, for instance, leaves him hanging by his arms; Sancho makes believe that he has actually gone to Loboso and delivered his Master's letter; the barber and the curate bring him home in a cage; Samson Carrusco incites the hero to undertake more adventures; the Duke and Duchess engage in protracted practical jokes at the hero's expense and so forth. Students will probably tend to think that one should pity Don Quixote. Many mature readers do. A distinction, however, may clarify how one can react intelligently to Don Quixote. Cervantes asks us to judge Don Quixote with affectionate reprobation. One should pity Don Quixote because he is a deluded, misguided man, but one should not allow this pity to excuse the actions of Don Quixote. Don Quixote lives in a fictional world, perverts what should be the ideals of that world and would impose those perverted ideals on society; he refuses to acknowledge that he has perverted those ideals, and that he therefore brings with him more chaos than already exists. To such a man one extends pity, but he must be held accountable for his self-delusion and his consequent actions.

Moreover, some of the apparent victimizers of Don Quixote act rather obviously out of mercy rather than out of contempt. The curate and the barber put the hero in a cage not in order to have fun at his expense but in order to try and rescue him from his folly. In the other incidents in which Don Quixote is apparently mistreated his mistreatment can be attributed to both the irascibility and perverseness of his victimizers and to his own vanity. For instance, when Maritornes' leaves Don Quixote hanging by his wrists, she is able to do so only because he deceives himself into believing that she is a lady of quality rather than a prostitute and because he is vain enough to believe that a lady of quality would desire his paying court to her. Maritornes' use of the vanity of the hero cannot be completely justified. It would be if she used her trick to enlighten Don Quixote rather than to mock him. She extends no charity to Don Quixote as do the curate and the barber. The satire in this incident, then, is two-edged; it exposes Don Quixote's folly and vanity, and the unconcern of the "Maritornes" and her class for the well being of other men. The same kind of satire is operating in the episodes at the castle of the Duke. Cervantes in no way refrains from pointing out how the Duke and Duchess so neglect their duties that they expend both time and money for an extended practical joke; he does not refrain from exposing the haughtiness of the duenna and of the parasitic ecclesiastic--both of whom attempt to gain control of their master's wealth, if not his soul. Yet at the same time, Cervantes also allows Don Quixote, in his tongue-lashing of the priest (II, 8), to trip over his ludicrous vanity--"I have redeemed injuries, righted wrongs, chastened insolence, conquered giants and trampled on monsters," "my intentions are always directed toward virtuous ends, to do good to all and evil to none." He may have trampled on imaginary monsters, but one wonders if the speech does not display a man who is irretrieveably mad because he could never understand what it might be to chasten insolence.

One problem concerning the hero remains--his change in the second part. During the first part, Don Quixote does not learn or change at all, but during the course of the second part, he begins to have moments of lucidity and to perceive that an inn is an inn and not a castle. The change is gradual. He repeatedly relapses into his former character. Part of the reason for the change in the character of Don Quixote is that while Cervantes was writing Part II, there appeared a sequel to Part I by another author. In the first part, Cervantes had not solved the problem inherent in the picaresque novel, which is how to bring the adventures of the hero to a satisfactory conclusion without destroying the effect and the form of the novel. When the sequel appeared because the first part lacked a satisfactory conclusion, Cervantes found himself faced with the problem of bringing Don Quixote back to reality in a convincing manner. He does so by exhibiting Don Quixote's slow, uncertain improvement.

The appearance of the apocryphal sequel, however, only account partially for the change in Don Quixote's character. The second part moves on a more urbane level than the first part; the world is different. Drubbings are less frequent; slapstick has almost disappeared. Quixote continues to deceive himself but on a different plane. Instead of taking the lions to be giants as he would have in Part I, he sees them as real lions, but deceives himself about his courage. Again (II, 14) he arrives at an inn and knows and says it is an inn but leaves "the two gentlemen surprised at the medley of good sense and madness they had observed in the knight." Even at the very end of the book, the hero is ready to trade his illusions about chivalry for illusions about the pastoral life. The hero does not actually change as much as he appears to. He has merely discovered that one form of madness, his conception of chivalry, is, indeed, mad.

Sancho, like Don Quixote, raises several critical problems. At the beginning of the novel he is not deceived about the reality of things, since we are given to believe that he would have nothing to do with Don Quixote's version of chivalry if he did not have the promise and prospect of governing an island. Several times he tires of adventures and wishes to return home. Yet at the end of the novel (Part II), he has himself become like Don Quixote; he now believes that Dulcinea is enchanted. The change is not as evident in the first part, but Sancho does allow himself to believe that the knight's promise will be made good, even in the face of continual defeats. If one limits his discussion to Part I, he is likely to view Sancho as a foil to Don Quixote's imagination, and indeed he is, for he keeps the reader informed of the real nature of things and portrays how a sensible man would react to Don Quixote's misfortunes and to his delusions. Nevertheless, Sancho also functions in other ways. In some instances, he is used by Cervantes to display the hero's contempt for the lower classes. The hero continually tells Sancho that he, and not Don Quixote, will have to fight those who are not knights and to rescue those who are less than noble. Sancho's only motive for attending the knight is his hope for a governorship; but at the end of Part I, he has not got it, even though he has endured several drubbings. Sancho, then, in Part I, is pragmatic man, with the rustic's interest in hoarding and self-interest and self-seeking. Through Sancho, Cervantes portrays the folly of the lower class's hope of attaining the noble status and its attendant privileges, and the way in which it will neglect its responsibilities both to its own class and to society by striving after nobility. Sancho is not a "normative" figure in this novel. In Part II, Sancho becomes, as a result of the Duke's practical joke, a governor, and he suddenly learns here the hardships that a lord temporal faces. Since he is unable to rule effectively, his subjects steal his power and unseat him. His proverbs are of no avail; and the life of ease he had envisioned, evanescent. If he is cured, in these episodes, of his desire for civil power, he is not cured of self-deception. Now he no longer knows what is true. He cannot determine if Don Quixote's narration of his descent into the Cave of Montesinos is true or not, and he believes that Dulcinea is enchanted. The wisdom of proverbs and the priest's sermons which he does not understand but upon which he pretends to rely, do not aid him. He is, in short, a representation of the way in which Don Quixote's misconception of chivalry can bring havoc to the entire social order and can pervert a reasonably sound man.

If the central characters perplex the reader, so also does the form of Cervantes' novel, especially the reader grown accustomed to the tight-knit novels of authors in the tradition of Henry James or to their TV equivalents. Don Quixote seems to be little more than a series of episodes strung together without real connection. One must first observe that Cervantes patterns his novel after the romances or the epics of chivalry. He does so in order to parody the romances or novels of chivalry. The episodic construction of the romance together with its themes of love and arms plays into his hands, for not only is he able to mock its themes, but also he is able to use its episodic construction as a device for satirizing various classes and strata of society. All of the episodes, in the abridgement used in this unit, are related to the novel's themes--Don Quixote's perversion of the chivalric ideal, Sancho's avarice and discontent with his God-ordained place in society, and the satire of conditions in society. The unifying device of Don Quixote is the journey through society around which Cervantes develops his themes.

Don Quixote speaks the language of his fictional idols. His speech, for instance, upon his leaving his hometown for the first time is a parody of the high style employed in the chivalric romances. It is shot through with irony and with hyperbole. Again, his speech about the golden age at the inn when Dorthea, the barber and curate are present, is a parody of the high style. It employs long, periodic sentences, is patterned after the classical oration, and contains rather close reasoning. Don Quixote is distinguished by his style of speech, for he employs the high or ornate style constantly; but his style also assures us of his madness, for the style of his speech belongs in books addressed to kings or concerned with noble subjects rather than in real life. Indeed, the instructor may use Don Quixote as a device for calling attention to what the written language would sound like--were it spoken. The kind of style that Quixote uses derives from the rhetorical conventions of the middle ages and the Renaissance, and it is to be used in addressing men of high rank and kings.

Other characters are also distinguished by their "dialects". The Biscayan speaks the Castilian dialect and the galley slaves employ the vocabulary of rogues. Sancho speaks in the simple, popular style of the day. He continually resorts to cliches and proverbs in order to express his ideas and sentiments. Cervantes uses Sancho's cliches and proverbs to good effect. Through them he portrays Sancho as an unoriginal, unthinking, uncritical man, and presumptuous as claiming to be wise. In Part II, Cervantes changes gradually the style of Sancho's speeches; the change parallels the change in Sancho's character.

Don Quixote: Composition Topics

1. Write an essay in which you show how the first chapter is related to the rest of the novel.

2. The humor in Cervantes' novel is appealing. Write an essay in which you describe the different kinds of humor or in which you center your attention on one episode and determine how the humorous action is related to the "meaning" of the novel.

3. One of the greatest problems in Don Quixote is the character of hero. Write an essay in which Don Quixote is compared to the ideal knight as described by John of Salisbury and as portrayed in the character of Sir Gawain.

4. When Don Quixote is brought back to his home in a cage, he seems to be victimized by the curate and the barber. Write an essay in which the curate and barber's action is defended or in which you discuss the appropriateness of this ending to Part I.

5. Don Quixote was written for the purpose of instructing the reader. Determine what the reader is supposed to "learn."

6. Don Quixote's freeing of the criminals is an instance of his brand of justice. Show how his concept of justice in this episode is either perverted or praise-worthy.

7. Write an essay in which you describe some of the parts of society that Cervantes satirizes and explain why Cervantes satirizes these parts.

8. If you studied the units on Greek and Hebrew literature in the seventh grade, write an essay in which you compare a Hebrew or Greek hero that goes on a journey, e.g., Joseph, Hercules, with Don Quixote.

9. Describe the relationship between Don Quixote and Sancho and determine what each of them represents.

10. Explain why and how Cervantes satirizes novels about chivalry.

11. Describe Don Quixote's speech; show how it reveals his character.

12. Don Quixote appears to believe in magic and enchantment. Is there any evidence to suggest that he does not? Whether he really does or not, what does his constant talking about magic reveal about his character?

13. Compare and contrast Part I and Part II. How do Don Quixote's adventures differ in these two parts? Or, how does his character change?

14. Compare Lazarillo and Don Quixote. How do the heroes differ? Why do the authors create such different heroes?

Although LeSage's Gil Blas has not aroused much enthusiasm among critics during the last two decades, one need not apologize for its inclusion in this unit, for its neglect probably derives from the critics' preferring the well-knit, highly unified modern novel to the apparently disorganized, loose novel like Gil Blas. Almost all critics, however, recognize Gil Blas as historically important, for it represents a major step in the evolution of the novel, and it is aesthetically pleasing, if one strips away modern preconceptions about the novel. Moreover, Gil Blas fits admirably the purposes of this unit, for its social satire is readily accessible to junior high school students and it employs the principles of organization peculiar to the journey novel. This novel provides a particularly good opportunity for studying how the picaresque novel is related to the epic, how the author solves the problem inherent in a static hero, and how the social satirist uses the device of irony.

In the introductory remarks about the genre of the journey novel, it was asserted that the journey novel has its source in the epic. *Gil Blas* is an instance of this generalization. The author of *Gil Blas* conscientiously imitates the structure of the epic, for he divides his novel into the twelve books characteristic of the epic. However, because the author imitates the larger form of the epic, one cannot therefore expect to find in this novel other characteristics such as the epic simile, high style, and beginning the story *in medias res*. Indeed, Le Sage does not intend to write a classical epic, but to write an inversion of the epic. Instead of the epic simile, the most notable rhetorical device is irony, and instead of high style, the author writes in the middle, even the low, style. Usually the author of the epic uses the form of the epic to portray the moral progress of a society (a group of heroes) or of a single hero, e.g. Odysseus. The moral progress enables the hero or heroes to develop, through confronting various kinds of obstacles, the virtues necessary for establishing or for defending and maintaining a society that rests on certain ideals. Le Sage, however, does not use the form of the epic in order to portray in his hero the ideals that a particular society should emulate; rather he portrays through his hero and the form of the novel the way in which society has inverted social ideals and in which such a society can corrupt an essentially good and virtuous person. When Gil Blas, undertakes his journey he is essentially virtuous and good. He manages to retain his moral sense for a while in spite of the corrupting influences of society, but eventually, he becomes an inversion of the epic hero. He is corrupted by society rather than being its purge.

One of the problems that is inherent in the form of the picaresque is that the hero generally does not change, e.g., the hero in *Lazarillo de Tormes*. Because the hero does not develop during the course of the novel, the author is forced to break off his story and leave it in a to-be-continued state, a breaking-off which may raise problems for the author: the ending may not be very pleasing, it may seem abrupt etc. Moreover, the abrupt ending may prompt hacks to write sequels.

Le Sage faces both the problem of abruptness and the problem of continuation in his novel. He begins by conforming to the traditional picaresque pattern. Until Gil Blas reaches Madrid and attains power and wealth, he remains uncorrupted by society--perhaps attracted to various kinds of corruption, but, witnessing the consequences of such corruption, essentially repelled by it, and eager to undertake his journey afresh. For instance, when he takes a major role in the hold-up of the monk, his moral sense pricks his conscience, even though he recognizes that the monk himself is no paragon of virtue. Likewise, when he practices medicine under the tutelage of Sangrado and when he participates in the bilking of Simon the Jewish tailor, his conscience urges him to leave off these kinds of employment and to cease exploiting other men for his own benefit. Somehow his moral nature gives him an immunity to corruptions, which never allows him to take on the attitudes necessary for their persistent or malicious indulgence. Gil Blas in this earlier part of the novel functions as a kind of literary device for the author. He is an observer and a half-hearted participant in social activities from which he maintains a satiric distance, a distance that the author uses to exhibit the vices that permeate society. All of this is to say that in the first books, up through Book VII, the center of attention is the *actual structure of society*, not the hero or the action.

Gil Blas, however, differs from such picaros as Lazarillo and Sancho. Gil Blas is not continually preoccupied with finding the means of survival; deprivation finds no place in this novel. The hero is always adequately fed and clothed. Gil Blas is a new kind of picaro; he is concerned with survival but with improving his social status, concerned not with existing merely, but with educating himself. Once the hero is assigned a desire for improving and educating himself, the picaresque novel is transformed. The center of attention becomes, then, not only the structure of society and the vices that persist in that society, but the hero-together-with-society, the hero undergoing an education in society--the concern of the *bildungs roman*. Significantly, the author never seriously attributes to Gil any real desire for climbing until he takes up his duties for the Duke of Lerma. At that time, Gil is made to observe that "ambition and vanity obtained complete empire over" his soul. He is no longer charitable and compassionate; his heart "became harder than any flint." Our hero comically and sadly looses his immunity to corrupting influences, conforms to court patterns, and promotes the corruption which had earlier sickened him. Gil becomes self-conscious as he was not in the earlier books. His fixed and static character disappears and with that disappearance, the center of attention moves from society to the protagonist. So that, by changing the nature of the protagonist, Le Sage suggests how powerful the corrupting influences on the court are (in contrast to those of lower levels of society) and implies that he is at least a bit pessimistic about the possibility of reforming the officials at court. However, perhaps the major reason for this change in Gil's character is that, through it, Le Sage is able to portray how man falls and how he gets back on his feet. Gil's participation in the intrigue to provide the prince with a mistress has, as its motivation, the desire of the court and of Gil to ingratiate themselves to the prince in hopes of gaining more power and wealth. The gimmick eventually lands Gil in jail where he succumbs to a despair that is foreign to his nature (consider the parallel incident in which he is imprisoned in the underground cave of the bandits). The imprisonment functions as a kind of reforming device: Gil vows to give up his former pursuits and take up a pastoral existence removed from the corruption that he has known. He has lost his toughness; he now falls easily; he needs a setting which does not ask him to be a moral Hercules--only Philemon. At the urging of his servant and his friends, however, Gil again returns to court; the moral transformation effected in prison has provided him with a new moral "fiber" unknown to him before, a charity which he had not known before (cf. his treatment of his petitioners, his awareness of the Count's inevitable fall, etc.). After the deposing of the Count, Gil once again flees the court and lives a pastoral life. Gil has moved from one kind of partial innocence to another kind of partial innocence. Gil's journey seems to be organized around a desire to treat all three of the estates which occupy a place in the *ancien regime*--Lords Spiritual, Lords Temporal, and Commoners. In the first six books of the novel, Gil encounteres common people, with the exception of Don Alphonso and the family of Count de Polan. He finds himself in the company of bandits, actors, physicians, innkeepers, tailors, stewards, authors, hermits, and grandees who pretend to nobility, men whose grotesqueries satirize the following follies:

(1) The moral "disguises" of selfish religious men and lawyers.

(2) The deceptions of highway robbers and the failure to distinguish between *meum* and *tuum*.

(3) The merchant's exploitation of customers, e.g., the innkeeper and the tailor.

(4) Theatrical morals, especially as portrayed in Laura.

(5) The servant class betrayal of the master's faith, especially the stewards.

(6) The preoccupation of would-be grandees with venery and with living the parasitic life.

(7) The noble class's irresponsibility and idleness.

(8) The physician's incompetence and malpractice.

Although this list does not pretend to be complete, it reveals that Le Sage's main satiric concern with commoners in the first six books.

Although many satirists limit themselves to satirizing the lower classes and only implicitly satirize lords temporal and spiritual in order to avoid the censure of either the civil or ecclesiastical government, Le Sage evidently feels at liberty to satirize all classes of society. In Book VII, for instance, he manifests no caution in satirizing the archbishop. Previously, he has satirized the licentiate, the friar who betrayed the confidence of the confessional, the monk from whom Gil Blas steals, but in his satire of the archbishop, the author goes further and attributes the practices of these lowly servants of the church to the hypocrisy and pride of the archbishop.

When Gil is in the service of the archbishop, he has as a master a man who pretends to the humility and holiness that an archbishop should have. His concern about his approaching senility and the quality of his sermons appears to be admirable. The function of the sermon, at least ideally, is to urge the listener to acquire those attitudes and practices which will result in his eternal salvation. But his is a hypocritical concern. His motivation "to retire from professional life with my reputation in undiminished luster." Gil reports to him his own observations and those of others about the decline in the quality of his sermons; the archbishop refuses to believe the truth of those observations. He discourses on the Christian virtue of sincerity and then concludes that he would have given Gil "infinite credit for what he thought," if he "had thought anything that deserved to be spoken." This statement, together with the archbishop's protestations against flattery and the contrasting continual obeisance of the archbishop's officers, suggests the extent to which the archbishop and his functionaires have been overtaken by the vices against which they protest. The man who was touched by the satire could wince; one may have to remind the students that not all archbishops are touched.

Gil's journey begins among the commoners, takes him among church officials, and finally introduces him to officials of state. When Gil is employed by the Duke of Lerma, he is introduced to the intrigue and corruption among civil servants and observes first hand the ways in which they pervert their offices for their own aggrandizement. The social satire in this section is heightened by the transformation of Gil's character, his ceasing to maintain his satiric distance and beginning to participate in corruption himself. Now the satire depends not so much on Gil's satiric distance as on that of the author, the satiric distance which allows him to display the change in Gil's character and the activities and attitudes of Scipio as both of these comment on the duke as leader (cf. Gil's treatment of Navarro, an incident which the author probably intends to be taken as an example of the entire spectrum of activities at this level of society). It is not until Gil Blas has been reformed during his imprisonment and has returned to the service of the Count that the satire centers on the Count's character and activities.

In Le Sage's world, both lords spiritual and lords temporal allow their administration of ecclesiastical and civil officers to be influenced, if not determined, by petty concerns, vanity, and ambition. They create the corruption that prevails on lower social levels, create by failing to rule the commoners.

"Oh man! man! What a compound of candor breathing satire and splenetic impartiality art thou!" Beyond candor and satire and impartiality lie the implied norms for the good society.

Gil Blas: Composition Topics

1. Trace the history of Gil's career through the first seven books. Describe the kinds of people that he encounters and explain how they are satirized.

2. Discuss the construction of the plot. Explain why the author divides the action into episodes.

3. Explain why and how Le Sage satirizes Doctor Sangrado.

4. Define irony and then point out one or two passages in which the author is ironic. Explain why and how he is ironic.

5. How does the author satirize the bishop?

6. Explain why Gil's character changes after he becomes a servant of the Duke of Lerma. Does this change make the novel bad? Is this change believable? If not why does the author change his character?

7. Compare the Duke of Lerma and Don Alphonso. What do they represent?

8. Compare Gil as the servant of the Duke of Lerma and as the servant of the Count. How and why has he changed?

9. Describe the relationship between Gil and Fabrico. How do they differ? What do they represent? How is Fabrico satirized?

10. Compare the incident in which Gil is locked in the bandit's cave and the incident in which he is imprisoned. What do these incidents reveal about Gil's character and the change in his character?

VI Pickwick Papers is an example of a nineteenth century author's employment of the techniques characteristic of the picaresque novel in order to satirize nineteenth century English society. Although the students will only read selected chapters from it, they will be able to follow the plot. if they ignore trivial inconsistencies.

Dickens' treatment of Mr. Pickwick departs from the usual. The "picaro" himself is satirized. While Dickens' satirizes the military establishment through the troops' fight, he also satirizes the stupidity of Pickwick and his comrades. Indeed, each of the most important members of the Pickwick Club represents a specific type of individual that Dickens wishes to satirize. Mr. Pickwick is an "instance" of the typical eighteenth-and early nineteenth-century traveller; Mr. Winkle, an instance of the English sportsman; Mr. Tupman, an instance of the gallant lover, etc. Through Pickwick, Dickens satirizes those travellers who move through societies with pencil and notebook in hand ready at a moment's notice to record any extraordinary event or to describe any extraordinary character. When the driver of Mr. Pickwick's carriage tells Pickwick that his horse is forty-two years old, out come Pickwick's pencil and notebook. When Jingle talks of dogs, Mr. Pickwick asks him if he will allow him "to make a note of it." The dismal man, at the beginning of Chapter V, promises to provide at Pickwick's request a "curious manuscript." Mr. Tupman, almost from the moment he is introduced, functions as a grotesque (a kind of comic, almost allegorical representation) of the gallant lover. When he joins the Wardles in their carriage, he immediately sets about proving his prowess as a lover. Again a Dingley Dell, he pretends affection for the spinister aunt, but when the object of his affection is taken from him by the wily Jingle, he shifts his affection to Emily. His pretension of being a gallant lover, however, is shattered by Jingle's stealing away from him the spinster aunt.

Mr. Winkle is, like Tupman, a grotesque. He is a would-be sportsman. His fear of the regiment's blank charges in Chapter IV, and his wounding Tupman rather than shooting a bird in Chapter VII satirize this type of individual and his pretensions. The most devastating satire, however, is in Chapter II when Winkle decides to fight and duel with Mr. Slammer. He determines to fight because he must live up to his reputation among the club that he is an expert sportsman and because he hopes that the pistols will be loaded with blanks and that the local police will intervene in the affair. None of these reasons, of course, accord with his professed allegiance to the code of the sportsman, which would lead him to fight the duel for amusement and for demonstrating his dexterity as a sportsman.

Mr. Jingle, who is not a member of the Pickwick Club, is a kind of watered-down Renaissance man. He engages in--or pretends to have engaged in--all the pursuits of a gentleman. He pretends to be a lover, a sportsman, an acute observer of mankind. He reshapes his character to fit any situation in which he finds himself. In a way, he is the supreme example of the picaro or the rogue, but his identity changes, as does his past, whenever it is necessary for him to change identity or past. The picaro, unlike Jingle, never forgets who he is or what his past has been. Jingle is the perfect parasite.

If these characters are representative, Dickens does not create--indeed, is not trying to create--realistic characters but exemplary representations of various classes and professions. The characters in this novel are a "collection of varieties," comic book characters who function as satiric literary devices. Each lives in a world unto himself in which he performs a kind of pantomine. No real communication among characters exists. Each is, for a moment, the center of attention and an isolated center of vitality, having no real relationshp to any of the other characters. The novel appears disjointed, but its disjointedness is the disjointedness of the society it portrays. The isolation of each of the characters, the lack of any real communication between them, and their lack of any private inner life display the breakdown of the sense of human community as best it can be displayed in a fictive model.

Pickwick in search of "truths which are hidden beyond" his own private world sets out to encounter the great world. He leaves the security and stability of his isolated sphere of existence in a quest for reality and for truth. His private world, his secure retreat from the "world out there," is described several times, most notably at the beginning of Chapters II, V, VII. In each of these cases, the time is the early morning; in each, Pickwick in isolation from the great world finds his environment a bland and homogenous pablum. He leaves this isolation because of his insatiable desire to "seek amusement and instruction," but he leaves his private world and begins his journey with certain preconceived notions about the nature of man and the nature of society, and, from one point of view, his journey begins as an attempt to validate those notions. His companions also begin with certain fixed assumptions. For Winkle, everything is capable of being interpreted in terms of sportsmanship; for Tupman in terms of love, and for Snodgrass, in terms of poetry. Pickwick, however, begins with the attitudes of a scientist: he wishes to be a detached observer, an uninvolved spectator. But, even though he wishes to remain detached and uninvolved, Pickwick begins, as does the scientist,with some preconceived notions about what he will find. He expects all his evidence, dispassionately collected, to confirm his hypothesis about man and society. The author tells us that "general benevolence was one of the leading features of Pickwickian theory;" that is, Pickwick assumes that he will discover in the world out there that the human heart is by nature good and that Providence is in charge of the ordering of events for the good of all. In short, he begins his journey expecting to find the best of all possible worlds. From the very beginning of his journey, he finds much evidence that contradicts his theory and none that supports it. The confusing multiplicity of characters and the exploding world in which nothing is related to anything else bewilder and overwhelm Pickwick, and his journey becomes a bad dream in which turmoil cannot be explained nor the evil of the "best of all possible worlds" rationalized. Pickwick's moral bewilderment comes out in his failure to distinguish objects from one another; all tends to blur: "Fields, trees, and hedges, seemed to rush past them with the velocity of a whirlwind;" the placid, well-made world which Pickwick expected to find does not exist even on the physical level: horses plunge, glass breaks, carriages are ruined, horses will not obey their drivers (see especially Chapters V and IX). On the social level, the chaos is greater; no sooner does Pickwick pay the driver of his carriage than the driver challenges him to a fight. (Chapter II). When he is at Eatansville, the political goings on bewilder him; not knowing what to do, he decides that "it's always best on these occasions to do what the mobs do."

In Chapter IV, the scene, described as "one of the utmost granduer and importance," is a scene full of confusion; even the most ordered part of society, the military, lacks order. Here is Dickens' ironical description: (p. 49)

> There were sentries posted to keep the ground for the troops, and servants on the batteries keeping places for the ladies, and sergeants running to and fro, . . . and Colonel Bulder, in full military uniform, on horseback, galloping first to one place and then to another, and backing his horse among the people, and prancing, and curvetting, and shouting in a most alarming manner, and making himself hoarse in the voice, and very red in the face, without any assignable cause or reason whatever. Officers were running backwards and forwards, communicating with Colonel Bulder, and then ordering the sergeants, and then running away altogether . . .

Pickwick, then, encounters a multiplicity of characters who seemingly come from nowhere, disappear without notice, and reappear unexpectedly; the whirl of events, mobs, uproar, and social confusion prevent the detached benevolent philosopher from making any observation of anything.

Pickwick at first generally manages to retain his philosophical equilibrium; but his self-possession and intellectual repose are soon shattered, for he finds himself the victim of other characters and situations. Mobs control him (see p. 184). The confusion of situations overcomes him: "Mr. Pickwick had been so fully occupied in falling about, and disentangling himself, miraculously, from between the legs of horses, that he had not enjoyed sufficient leisure to observe the scene before him. . ." (p. 50). And, eventually, the turmoil of the external world transforms Mr. Pickwick so that he partakes of the turmoil--becomes passionate, indignant and excitable. He is angry when he thinks he is accused of stealing a horse (p. 69). When Mr. Jingle refers to Tupman as Tuppy, he "drew his breath hard, and coloured up to the very tips of his spectables." At a later time, when Jingle refers to Tupman as Tuppy, Dickens says: "Mr. Pickwick was a philosopher, but philosophers are only men in armour, after all the shaft had reached him, penetrated through his philosophical harness, to his very heart. In the frenzy of his rage he hurled the inkstand madly forward, and followed it up himself." (p. 141).

The scenes in which Pickwick is victimized by other characters and situations and in which he becomes passionate and angry are punctuated by retreats into a kinder, safer world. This retreat often takes the form of sleep. After the trials of the day, Pickwick sleeps, is refreshed, and next morning has regained his self-possession. His retreat can be an enormous meal (all the meals in this novel are enormous): consider, for instance, his rescue from the turmoil at the mock-battle to eat together with the Wardles; his confusion in Chapter II followed by another meal; and the Christmas meal at the Wardle's. Indeed, the visits to Dingley Dell function as retreats from the confusion prevalent in society. Usually, there is little chaos there, or if there is some, it is milder than in other parts of society.

These retreats represent Pickwick's retreat to his initial assumptions that man is innately good and that Providence reigns supreme. Pickwick, however, cannot ignore either the fortuitous circumstances which have victimized him or the aggressive, uncharitable action of the members of society. This lesson becomes inescapable when he becomes at his trial the spectacle rather than the spectator, the specimen rather than the scientist. Goodness and benevolence is only a dream and the intervention of providence into human affairs does not exist. Pickwick has, by seeking those "truths which are hidden beyond," subjected himself to the mercy of a society that is devoid of mercy. Justice is unknown: attorneys defend charging exorbitant fees and extorting clients by arguing that they will "be all the better for a good lesson against getting into debt." By a fortuitous circumstance, Mr. Pickwick becomes involved in the case Bardell vs. Pickwick. He knows and everyone else knows that he is innocent of the charge which has been made against him, but unlike everyone else, Pickwick does not realize that his being brought to trial is due to the avarice of attorneys rather than to the malice of Mrs. Bardell. He fails to understand that legal machinery, rather than serving justice, is manipulated for profitable ends by those who are supposed to be servants of justice. In the courtroom, the friendliness of the opposing attorneys bewilders and angers him. After he is sentenced, he is even more angry, and on principle, refuses to pay the assessed damages and goes to prison. When Pickwick goes to prison, he must either admit that the world does not conform to his preconceived notions about it or allow himself to be ravaged and driven to insanity by his imprisonment, as are the other prisoners. He must either admit his failure or be destroyed (see Sam's story in Chapter XLIV). Going to prison is Pickwick's way of getting himself out of and recovering from unpleasant shocks--retreating from the dog-eat-dog world; he conceives of the prison as a kind of Dingley Dell that will protect him from the evil rampant in society and that will allow him to go on deceiving himself. Deceptions and protection from evil, however, are impossible in Fleet. Here Pickwick's real education begins and he begins to perceive that society is indeed merciless, that man is merciless, and that Providence evidently has no control over affairs. For instance, the lack of mercy in society is illustrated by the law that says that debtors on the poor side are not to be provided with food and rainment as are the worse criminals; he knows that man is not merciful when he sees the poor Chancery prisoner die because of neglect; and the absence of Providence is evident in the woeful tale that the cobbler tells about his experience with the law. After his visit to the poor side Mr. Pickwick begins to realize that Fleet Street and society will destroy him: ". . . old men may come here through their own heedlessness and unsuspicion: and young men may be brought here by the selfishness of those they serve." (p. 641). Pickwick here finally perceives that it is his "heedlessness and unsuspicion" that have brought him to his sorry state. But even after he has made this admission, Pickwick remains obstinate and refuses to leave prison. The fortuitous arrest of Mrs. Bardell, however, provides for Sam the means of persuading Pickwick to leave. Shocked by the merciless treatment of Mrs. Bardell at the hands of her attorneys, Pickwick, rather than allowing Mrs. Bardell to encounter the corrupting forces in the prison, allows his benevolence to conquer his obstinancy. He leaves the prison knowing that every one of the prisoners "was. . . the happier for his sympathy ane charity." (p. 715) While in prison, he has established a little society of his own permeated by his benevolence, a society outside "real society" and sustained only by Pickwick's money, money which outside the prison would be ineffectual or at the mercy of evil.

Pickwick is a kind of Don Quixote who leaves the security of his own private world and undertakes a series of adventures with about as much success as Don Quixote. Like Quixote, Pickwick starts with wrong assumptions and only through a series of painful experiences does he learn that he is wrong. Though he learns, he does not change. To change would annililate his identity. Like Don Quixote, he has a companion who attempts to prevent the disaster that necessary follows making foolish assumptions about man and society. Sam Weller functions as a kind of Sancho. Unlike Sancho, he does not yield to illusions. He is a kind of good--or at least attractive--Jingle who has the resilience typical of the picaro. Jingle makes himself what his own interests require, but Sam passively allows the situation to make him whatever it will. He is wax in the hand of society. Herein lies his wisdom, and it is through this wisdom that he is able to protect the innocent, deluded Pickwick from ravaging. Because of Sam's efforts, Pickwick is finally prevailed upon to leave prison. Sam is the real picaro in this novel; he can withstand corrupting influences in society without becoming evil and without destroying his sense of moral responsibility toward Mr. Pickwick.

Pickwick Papers: Composition Topics

1. Write an essay in which you determine whether or not Pickwick's character changes. If it does or does not, explain why the author changes or does not change his character.

2. Why is Pickwick so often described as bewildered, confused, indignant? How does what Pickwick find "out there" differ from what he expected to find?

3. Describe Dodson and Fogg. Explain how and why Dickens satirizes lawyers.

4. Explain how the trial leads Pickwick to discover that society is completely unjust and in need of reform.

5. Compare Sam Weller and Mr. Jingle. How are they alike? How do they differ?

6. On page 641, Pickwick says that "old men may come here [to Fleet prison], through their own heedlessness and unsuspicion." Explain the significance of this statement. Is Pickwick referring to himself? Does it indicate that he has learned something?

7. How is the cobbler's story in Chapter XLIV related to Dicken's satire on the administration of justice?

8. Characterize Fleet prison. What kinds of things is Dickens satirizing?

9. Choose one of Pickwick's fellow members--Mr. Tupman, Mr. Winkle, or Mr. Snodgrass--and determine what kind of person he represents and how Dickens satirizes this kind of person.

10. Write an essay in which you explain the significance of Dingley Dell and the enormous meals which are always being consumed.

11. Describe the political activities at Eatansville. What is Dickens satirizing and what does he think should be done about political life?

12. Summarize the action in Chapter IV, especially that of the military group and the spectators. Why does Dickens include this chapter?

VII Sword and the Stone

T. H. White's novel, The Sword in the Stone appears to be a hodgepodge of learning and satire organized loosely about one of the Arthurian legends. Its lack of organization, however, is apparent rather than real. In his novel, White, a twentieth century author, uses a medieval fiction in order to satirize one of the commonplace ideas of the early twentieth-century: the perfectability of man. White is a firm believer in the theory of literature that holds that the end of literature is to instruct while entertaining. The comic scenes and the tomfoolery in this novel are more than entertainment; rather, they make palatable for the reader a devastating satire of modern society. White has good reason for setting his satire in the middle ages rather than in the twentieth-century. If he were to satirize the twentieth-century by setting his story in that same century, his reader might not gain the necessary satiric distance. White uses the Arthurian legend because Arthur is the mythical hero of England and is a symbol for what one might call the English spirit, at least the English spirit before the advent of technology and the idea of progress.

The idea of progress which White satirizes in this novel has lost much of its appeal since World War II and survives only in a modified version. Prior to 1939, when White wrote The Sword in the Stone, however, faith in man's moral progress was a predominant popular philosophical point of view. If World War I tempered faith in the idea, it nevertheless persisted. Put simply and in its crudest form, the idea of progress or the notion of the perfectibility of man is the assumption that man is getting better every day in every way. This notion partially derives from eighteenth-century philosophers such as Shaftesbury who deny the orthodox Christian belief in the doctrine of original sin. Once one has denied the existence of original sin and has affirmed that man is essentially good, the next step in the argument is to argue that man can improve himself. Divine aid is no longer needed. This argument seemed to be reinforced during the eighteenth century by the great advances in science and technology. By employing his reason, so the argument runs, man can eventually know all there is to know about the universe and thereby attain perfectibility. This notion of perfectibility combined with the emphasis on the importance of the individual that came to the fore during the latter half of the eighteenth-century, partially as a result of the influence of Rousseau and the Romantic Movement, led to the development of the notion that every man can attain perfection if the corrupting influences of social institutions and traditions are stripped away.

In the nineteenth-century, the possibility of achieving individual and collective perfection by the use of reason was envisioned by John Stuart Mill and his school. In the treatise On Liberty, for instance, Mill argues that each man should be so freed from traditional modes of thinking and of behavior that he can find for himself the perfection which he seeks; a kind of view of society which led to a series of reforms, all of them extending more freedom to the individual. Apparent social progress, continued economic progress, the advent of Darwinism, all of these convinced the popular English mind that man was slowly mounting through one level of perfection after another in all areas: moral, political, economic, and biological.

T. H. White considers such a notion of progress an illusion. In one of his books, The Age of Scandal, White asserts that he has witnessed the end of civilization and says :

> It is useles to whine. It has happened. It is the logical result of our half-baked Victorian humanitarianism. All men are not equal. That ridiculous idea of English democracy was invented during the reign of Queen Victoria, and it has now become bureaucracy.

White, who describes himself as a "nostalgic Tory," begins with different assumptions about man than do those who hold to the idea of progress and the belief in the perfectability of man. He conceives of man in approximately the same way that the orthodox Christian does. Man, who for White is "eternally undeveloped" and remains "potential in our /God's/ image," has a dual capacity: he is capable of both good and evil. Man inclines toward evil, but can, by valiant struggle and by discipline, do good, although the latter possibility is the more improbable of the two. The social and political implications of such a view of man is that every group of men needs wise leadership in the form of a centralized authority and in the form of laws. However, White does not argue for tyranny, rather he argues for a benevolent government that so orders its subjects that it promotes the common good. If the purpose of government and social structure is the common good, then the individual man finds his fulfillment by contributing to common good, not by following his own style of life. What White conceives of as the ideal society, then, is one which is hierarchially organized and one whose cardinal principles are justice and charity.

The Sword in the Stone is a novel which teaches its reader how a society has to be ordered and be governed so that all members of society benefit from it, since man inclines toward evil rather than good. Those societies which do not, from White's point of view, promote the common good and which do not recognize the need for firm but benevolent leadership and laws are satirized. The normative patterns of behavior and of social organization which are established and against which other patterns of behavior and societies are to be measured are primarily patterns derived from White's study of "Christian" medieval society. This normative society is the kind of society represented by the geese, a society organized hierarchially. On the island which all the geese reach when they migrate across the North Sea, the various kind of geese "kept more or less to their own kind, but they were not mean about it." Each flock of geese has its own leader (whether produced by that flock or lent to it by another) who is chosen because of his wisdom and virtue. Muddle-headed leaders are not chosen. Moreover, the geese, both individually and collectively, spontaneously or with "free discipline," work to promote the common good. Each takes his turn at watch without protest in order to guard against *natural* enemies. The geese, then, have among themselves "a comradeship, free discipline and *joie de vivre* [exuberance for life]." The geese preserve peace and order in their society without tyrannical kings "like Uther" and without "laws like the bitter Norman ones." Without this tyranny, the geese are able to express their individuality, an individuality which is not cultivated for its own sake, but for the promotion of the common good of goose society and checked only by a spontaneous kind of self-discipline. Not only is there an absence of both tyranny and self-aggrandizement within the goose society, but there is also no war among the various goose societies. The word "war" is alien to goose vocabulary, and as Lyo-Lyok, Wart's goose friend, implies the absence of war is due to the absence of boundaries in the boundariless air. Man, however, cannot "take to the air": He is earth-bound; he cannot heed Lyo-Lyok's advice that "those ants of yours and the humans too would have to stop fighting in the end, if they took to the air"--what Wart learns from his conversation with the badger. The badger teaches Wart to qualify the idealism which he acquired from the geese, an idealism which leads Wart to pray "God to let [him] encounter all the evil in the world in [his] own person, so that if [he] conquered there would be none left, and if [he] were defeated, [he] would be the one to suffer for it." The badger tells Wart a parable about creation which portrays man as a part of the Lord of nature, granted dominion over the beasts, fowl and fish, but himself also a part of nature. Man as the lord of nature can be either a tyrannical or benevolent ruler. If he is tyrannical, he brings sorrow upon himself and destroys the harmony in nature; if benevolent and in harmony with the rest of nature, he experiences joy.

He tends to be tyrannical and "has a quantity of vices."

Once man is out of tune with the rest of nature, his society becomes a mess. Natural law dictates that man should behave benevolently towards both lesser creatures and his own fellow men. The badger says that his parable is a "trifle optimistic" for man continually violates the trust granted to him by God when he made him lord of nature. This violation results in tyranny and exploitation on all levels of nature, human society included. Nevertheless, White's ideal remains an accessible ideal: he refers to the Esquimaux, the Gypsies, the Lapps, and certain Nomads in Arabia, all of whom avoid warfare and tyranny.

The episode in which Wart visits gooseland is the explicit outlining of the novel's satiric norms. Other episodes implicitly establish the same norm. When Wart and Kay go hunting and Wart shoots his best arrow in the air, a gos-hawk snatches it and carries it off. This incident is a kind of exemplu which teaches that power, which is represented by the arrow, is not to be displayed for its own sake. Wart, moreover, after the excursion to Morgan

LeFay's castle provides a normative pattern of behavior when he is benevolent toward the dog keeper and Wat and sees to it that they are re-integrated into a society that had formerly ostracized them. The society described at the beginning of Chapter 14 also establishes implicitly the social norm.

Departures from and perversions of the norm, however, are more frequent. The more obvious ones are cast in the form of animal fables. Some departures from the norm are portrayed in the medieval fiction. King Uther represents throughout the novel a departure from the normative pattern of behavior for kings. This departure is summarized in the parody of the national anthem which Sir Ector and his guests sing at Yuletide. King Uther's tyranny is also portrayed in the boar-hunt. In order to support the many hungry mouths at his court, he commands a boar-hunt on Sir Ector's estate, a command which forces Sir Ector to organize his society for a kind of war effort and to disrupt the order established on his estate which is portrayed at the beginning of Chapter 14. [The effects of King Uther's command parallel the effect of the war between the ants]. King Pellinore, like King Uther, is a departure from the norm established in the novel. His constant pursuit of the Questing Beast in accordance with the rules of his perverted chivalry makes him a useless social appendage. The duel between Sir Grumnore and King Pellinore is another perversion of the ideal. When they duel, they destroy domestic peace and tranquility. First rate knights would be defending Christendom from the Saracens and seeking to carry out justice and to establish peace and order. Kay, Sir Ector's son, represents the greatest departure from the norm. When he kills the griffin, he does so only to insure his glory and fame, desiring as his gift the head of the griffin, which he takes as a symbol of his valor, courage, and goodness. Unlike Wart, he has no concern for the captives that they have rescued. He treats Wart haughtily, supposing that Wart is a bastard who has no claim to equal treatment, and his insolence toward and contempt for Wart reaches their peak, when he sends Wart after his sword while they are in London and when he falsely claims to have pulled the sword from the stone. Kay is the paradigm tyrant. His treatment of Wart and his contempt for Merlyn clearly indicate what kind of king he would make; his ostentatious display of power over lesser creatures (for instance when he kills the rabbit in Chapter 6) displays him for what he is--a man out of harmony both with his fellow men and with all of nature.

White is interested not so much in satirizing duelling, killing rabbits, ordering boar-hunts, for example, as he is in exposing the wrong-headedness of certain attitudes, all of which disrupt social peace and the order of nature.

The same attitudes which White's characters, or character-emblems, represent are more explicitly portrayed in the episodes in which Wart is turned into a fish, a hawk, and an ant. When Wart is turned into a fish, he encounters the old pike who tells him that the principle upon which society should be based is that physical power is right and that "love is a trick played on us by the forces of evolution." Wart learns first hand what the implications of such a principle are when he is almost devoured by the pike. Perhaps White has in mind Fascism, but whether or not he does, he certainly satirizes the attitudes toward other men and one's self that give rise to such a political philosophy. The fable of the hawks continues the treatment of the theme of the misuse of power. The hawks, according to Merlyn, are a perversion of the chivalric ideal. They run a kind of fraternity that is reserved only for those who enjoy the irrational use and displaying of power. In their Ordeal Hymn they assert that they are the *timor mortis*, the fear of death. Their rightful occupation, however, is not the threatening of others with death, but the use of their power to reform and to execute the commands of their superiors. Indeed, the ordeal through which Wart goes is one that requires not so much courage and madness as rashness, not so much "wisdom and fortitude" as irrationality . The hawks say "kill to enjoy killing." White's satire is most devastating in the chapter in which Wart visits the ant society. Quite clearly White is here pouring invective upon German society under Hitler, for the propaganda, the means of dispensing it, the portrait of the leader, and the national anthem, "Ant land, Ant land, over all," have distinct historical parallels. The satire has a dual purpose. It does expose the inhumanity of Nazism, but more importantly it lays bare those attitudes which create a society devoid of justice and charity. Every member of society is exploited. He contributes to a common goal, but not to the common good. He achieves no personal fulfillment as does the goose who contributes to the common goose good. In short, the uniqueness of the individual member of society is annihilated. He is made a machine.

Wart, under the tutelage of Merlyn, becomes aware of what he is and what society is: the ideals which he should strive for as a king, the possibilities of realizing such ideals, the perversions of norms, and, most significant, the attitudes that contribute to perfected patterns of behavior. Wart learns how to use rightly the civil power which is entrusted to him as King Arthur and the power over nature which God has granted him. Wart's having learned this lesson is dramatically symbolized in his pulling the sword, a symbol of power, from the stone. He is able to remove the sword because--and only because--he has established the proper relationship with the rest of nature. The scenes in which Wart is described as "loving" Cully, the hawk, and his favorite dog and other various animals are not sloplly, sentimental scenes. What White is portraying here is man's proper relationship to creatures lower than man on the chain of being. He represents this proper relationship in Chapter 23 by having all of the creatures of the earth, "come to help [him] on account of love," and he explicitly says that Wart has sufficient power to pull out the sword because of his relationship to nature. Because he knows nature as worthy of love, he has been able to know his fellowmen in the same way. His acquaintances send him gifts of love at the time of his coronation. What Wart is as a King is clarified by the contrast between his rule and King Uther's which the author draws when he compares his rule to that of King Uther, a king who had founded his government on the principle that might is right. (See Chapter 24).

The Sword in the Stone has to do with the way in which societies should be governed and with those forms of government which should be avoided. More importantly it lays bare those attitudes which motivate those who work contrary to the common good and create community patterns and cultural patterns which institutionalize cruelty, inhumanity, and competitive fierceness--virtues in a technological society. White makes his observations about these various attitudes applicable to modern society not only by establishing parallels between the action in his story and modern history (as in the case of the ants). He also uses anachronisms in his plot and anachronisms in the character of Merlyn to make his points. The anachronisms range from his describing the tournament field as a football field to his rendering a discussion involving a modern theory of the origin of language (Chapter 17) as having occurred in the late 12th century. Sir Ector's employs all the cliches known to modern after-dinner speakers when he addresses the company at Christmas time (Chapter 15). The spell by which Merlyn cures Mrs. Roach is a satiric thrust at modern medicine men consisting of scientific jargon which parodies scientific jargon. White's point is that both modern physicians and patients seem to regard the jargon as the curative agent. White satirizes the mercenary instincts of the physicians by including, in the spell, a last line which appears to be nonsense, which, when translated, reads, "with nonsense words (fol-de-rol) I mock you (derido from Lat. derideo) for the five guinea fee." White's apparent playfulness in this instance has a satiric thrust. The satiric use of the anachronism has as its target the commonplace assumption that modern man has progressed since the middle ages.

Many of the anachronisms are introduced through Merlyn. His very character is an anachronism. He lives backward in time; i.e., for him, the past is the future, the future the past. Because he lives backward in time, he has lived through modern history. His pessimism, implicit in his prophetic utterances concerning Wart's accomplishments as king, comes out of his knowning what will transpire in later history. He knows that man has not improved and will not improve. The vices and follies that exist in medieval society also exist in modern society. Merlyn, however, is a peculiar kind of mouthpiece, for his comments are in the form of fables or parables by which he introduces Wart to different kinds of societies, to a Fascist and a Nazi society, both of which demonstrate that man's nature has not improved and perhaps that man's capacity for evil has even increased.

All in all, the general pattern in the novel is to set the deviation from the norm next to an action or descriptive passage in which the norm is implied. Following is an outline of the way in which this works in roughly chronological instances.

Deviation from Norm	Norm
Kay's forsaking Cully	Wart's attachment to Cully (remember that love for animals is an emblem for man's correct relationship to nature).
King Pellinore (questing after beast)	Merlyn (questing after wisdom)
The Pike (The King of the Moat) Kay	Wart's arrow snatched away by Goshawk
The dual between Pellinore and Crummore The hawks Kay's asking for the griffin	Wart's asking for Wat and the dog boy in order to re-integrate them in society.
The ants. King Uther and the boar hunt	The description of the domestic society on Sir Eston's estate (Chap. 14)
Kay's becoming a knight (Chap. 20)	The geese
Wart's idealism	Badger's pessimism
Kay claiming to have drawn out sword	Wart's drawing out sword

Wart is neither a hawk nor an ant; White had little faith that men in our time could become Warts or geese. But he apparently felt it worth his time to remind them that they could be Warts and geese.

Sword in the Stone: Composition Topics

1. Write an essay in which you compare and contrast the kinds of education that Wart and Kay receive from Merlyn and in which you show how three kinds of education result in different kinds of leaders.

2. Determine whether the author is satirizing the middle ages or contemporary life. Support your argument with specific references to the novel.

3. Explain what the sword (in the stone) represents and how Wart's education enables him to draw it from the stone.

4. Write an essay in which you explain how one of the animal societies is related to the rest of the novel.

5. Discuss Wart's visit to the badger and explain why he visits the badger after and not before he has seen the geese.

6. Characterize the hawks as knights. Are they good or bad knights? Why?

7. Why does the author create characters like King Pellinore and Sir Grummore?

8. What is the author's attitude toward modern society? Does he think that man has improved since the middle ages?

9. Describe Merlyn. Explain how he lives backward in time and the significance of his living backwards.

10. Explain what an anachronism is and then explain why the author uses so many in the novel. Refer to specific anachronisms in this novel.

11. Explain the significance of the goshawk carrying off Wart's arrow in chapter 6 and then show how this incident summarizes the entire story.

12. Wart is portrayed as "loving" animals. Point out specific instances which Wart shows affection towards animals. Decide why Kay doesn't and Wart does. Then look at the badger's speech about man as the Lord of Nature and explain the significance of Wart's affection for animals. Is Wart like the modern "nature lover"? If not how does he differ?

13. Write a fiction in which you like White satirize some aspect of modern life by setting your story in another age.

Language Studies:

The linguistic exercises in this unit concern the classification of words according to forms in order to emphasize the relationship between derivational affixes and the form class to which a word belongs and the word's meaning. These exercises, however, should not be construed as "vocabulary" drills. The word lists included in the student packet are taken from Pickwick Papers. If that novel is not used as a core text, the teacher should compile his own list of words from the texts that are used.

Further Composition Suggestions

The following composition suggestions are designed to introduce students to some of the range of phonological, grammatical, and vocabulary patterns that the authors in this unit have employed and that the students themselves can employ for serious or satirical purposes. The purpose of these exercises is twofold: (1) to make the student aware of the relationship of the author's style and his meaning and (2) to present to the students the stylistic techniques that he might exploit in his own writing.

Following the suggestion of Kenneth L. Pike in his article, "A Linguistic Contribution to Composition" /CCC, XV (May, 1964), 82-88/, each of the exercises focuses on one particular kind of stylistic technique or on one "analytical situation." Mr. Pike's assumption that "the formal phases of writing comprise a set of structural habits, the productive control of written dialect, not a group of memorized propositions about spoken and written language" is the theoretical basis for these proposed exercises. Each of the following exercises represents a drill that teaches habits of writing which can suitably be employed in certain situations to express certain patterns of thinking or "thought structures." Many of the exercises focus on "habits" that can be and are used for satirical purposes.

The following exercises suggested by Mr. Pike have been tried with some success:

1. "Write a conversation in which controlled juxtaposition of words radically affects the style. . . by having one speaker in the dialogue utilize extensive cliches, and the other speaker utilize discordant juxtaposition of words in an unexpected variety."

2. "Taking for one dimension the contrast between formal and casual style, and for the other dimension standard and substandard dialects, rewrite a paragraph . . . using successively each of the four styles . . . . Add /genre/ differences--science fiction on Mars versus young child in a nursery--and discuss the further changes that would be needed to meet the requirements of the implied patterns."

The teacher might wish to revise the following exercises so as to adapt them more advantageously to the abilities of the students or to make up his own exercises that are similar to the suggested ones.

EXERCISE I

A. Ask the students to write a short passage in which they employ the grammatical patterns and level of diction of the following passage. They should also be asked to provide a context--speaker and setting, e.g. football player leaving the fieldhouse for the crucial game of the season. The teacher should ask the students to make all changes that such a context implies.

". . . 'O happy era, happy age wherein my famous deeds shall be revealed to the world, deeds worthy to be engraved in bronze, sculptured in marble and painted in pictures for future record. O thou wise enchanter, whosoever thou mayest be, whose duty it will be to chronicle this strange history, do not, I beseech thee, forget my good horse Rozinante, the everlasting companion of my wanderings. O Dulcinea, my princess! Sovereign of this captive heart! Grievous wrong hast thou done my by dismissing me and by cruelly forbidding me by decree to appear in thy beauteous presence.

I pray thee, sweet lady, to remember this poor, enslaved heart, which for love of thee suffers so many pangs.'"

from Don Quixote

B. Suggest that the students might rewrite the following passage using the level of diction and grammatical patterns that are employed in the above passage. They might be asked also to construct a hypothetical context in which the re-written passage might occur; e.g., a coach addressing his team after it has won its first game of the year or a military leader congratulating his troops after they have defeated the grossly outnumbered enemy troops. Ask the students to discuss the way the style in which they write this essay lends to it a satiric edge.

"You have finished this adventure with less injury to yourself than any others I have seen. These people, though overcome and scattered, may perhaps reflect that they have been routed by one person alone, and, growing ashamed of themselves, they may rally their ranks and return to give us plenty of trouble. The ass is as he should be; the mountains are at hand; hunger presses; we have nought to do but retire at a decent pace and, as the saying goes, 'To the grave with the dead, and them that live to the loaf of bread.'"

from Don Quixote

EXERCISE II

A. Ask the students to write a passage in which a character who has betrayed the ethical code of his profession or of his peers laments the virtue of the others and praises his own departure from the established norms. Urge the students to examine the patterns of diction and syntax in the following passage in order to determine how the author uses the style of the passage for satirical purposes, and then to employ those patterns in their own writing for a similar purpose.

B. Suggest that the students rewrite the following passage by employing such syntactical structures and level of diction that the satirical thrust of the passage is either mitigated or destroyed.

"So much the worse, rejoined Sangrado: with the principles you sucked in under my tuition, you would have become a physician of the first skill and eminence, with the guiding influence of heaven to defend you from the dangerous allurements of chemistry. Ah, my son! pursued he with a mournful air, what a change in practice within these few years! The whole honor and dignity of the art is compromised. That mystery, by whose inscrutable decrees the lives of men have in all ages been determined, is now laid open to the rude, untutored gaze of blockheads, novices, and mountebanks. Facts are stubborn things; and ere long the very stones will cry aloud against the rascality of these new practitioners: lapides clamabunt! Why, sir, there are fellows in this town, calling themselves physicians, who drag their degraded persons at the currus triumphalis antimonii, or as it should properly be translated, the cart's tail of antimony. Apostates from the faith of Paracelsus, idolaters of filthy kermes, healers at haphazard, who make all the science of medicine to consist in the preparation and prescription of drugs. What a change have I to announce to you! There is not one stone left upon another in the whole structure which our great predecessors had raised. Bleeding in the feet, for example, so rarely practised in better times, is now among the fashionable follies of the day. That gentle, civilized system of evacuation which prevailed under my auspices is subverted by a reign of anarchy and emetics, of quackery and poison. In short, chaos is come again!'"

from Gil Blas

EXERCISE III

Ask that the students write two short speeches--one in which they use extensive cliches and one in which they use other expressions of an unexpected variety. Then ask the students to discuss the way in which the distribution of words in expected and customary and in discordant and unusual patterns affects the style of the two passages as well as the ways in which the different patterns reveal the attitudes and purposes of the writer. The following passage may serve as a model for a speech in which extensive cliches are utilized.

"'---unaccustomed as I am to public speakin', it is my pleasant duty--I might say my very pleasant duty--to welcome all and sundry to this our homely feast. It has been a good year, and I say it without fear of contradiction, in pasture and plow. We all know how Crumbocke of Forest Sauvage won the first prize and Cardoyle Cattle Show for the second time, and one more year will win the cup outright. More power to the Forest Sauvage. As we sit down tonight, I notice some faces now gone from among us and some which have added to the family circle. Such matters are in the hands of an almighty Providence, to which we all feel thankful. We ourselves have been first created and then spared to enjoy the rejoicin's of this pleasant evening. I think we are all grateful for the blessin's which have been showered upon us. Tonight we welcome in our midst the famous King Pellinore, whose labours in riddin' our forest of the redoubtable Questin' Beast are known to all. God bless King Pellinore. Also Sir Grummore Grummursum, a sportsman, though I say it to his face, who will stick to his mount as long as his Quest will stand up in front of him. Finally, last but not least, we are honoured by a visit from His Majesty's most famous huntsman, Master William Twyti, who will, I feel sure, show us such sport tomorrow that we will rub our eyes and wish that a royal pack of hounds could always be huntin' in the Forest which we all love so well. Thank you, my dear friends, for your spontaneous welcome to these gentlemen. They will, I know, accept it in the true and warm-hearted spirit in which it is offered. And now it is time that I should bring my brief remarks to a close. Another year has almost sped and it is time that we should be lookin' forward to the challengin' future. What about the Cattle Show next year? Friends, I can only wish you a very Merry Christmas, and, after Father Sidebottom has said our Grace for us, we shall conclude with a singin' of the National Anthem.'"

from The Sword in the Stone

EXERCISE IV

Both of the following passages are narratives, the one written in a standard, the other written in a substandard dialect. Ask the students to rewrite the passage in standard dialect using the patterns of the other passage. Then suggest that the students might place the rewritten passage into a particular context, i.e., create a speaker and a situation for which the revised passage would be appropriate. It might be well to point out to the students that changes in both phonology and diction will be necessary.

"'There is no date, gentlemen, 'but I am instructed to say that it was put in the plaintiff's parlour-window just this time three years. I intreat the attention of the jury to the wording of this document, "Apartments furnished for a single gentlemen"! Mrs. Bardell's opinions of the opposite sex, gentlemen, were derived from a long contemplation of the inestimable qualities of her lost husband. She had no fear, she had no distrust, she had no suspicion, all was confidence and reliance. "Mr. Bardell," said the widow; "Mr. Bardell was a man of honour, Mr. Bardell was a man of his word, Mr. Bardell was no deceiver, Mr. Bardell was once a single gentleman himself; *to* single gentlemen I look for protection, for assistance, for comfort, and *for* consolation; *in* single gentlemen I shall perpetually see something to remind me of *what* Mr. Bardell was, when he first won my young and untried affections; to a single gentleman, then, shall my lodgings be let." Actuated by this beautiful and touching impulse (among the best impulses of our imperfect nature, gentlemen), the lonely and desolate widow dried her tears, furnished her first floor, caught the innocent boy to her maternal bosom, and put the bill up in her parlour-window. Did it remain there long? No. The serpent was on the watch, the train was laid, the mine was preparing, the sapper and miner was at work. Before the bill had been in the parlour-window three days--three days--gentlemen--a Being, erect upon two legs, and bearing all the outward semblance of a man, and not of a monster, knocked at the door of Mrs. Bardell's house. He inquired within; he took the lodgings; and on the very next day he entered into possession of them. This man was Pickwick--Pickwick, the defendant.'"

from *Pickwick Papers*

"'No, that he hadn't, my dear, 'and if you'd put an exact model of his own legs on the dinin' table afore him, he wouldn't ha' known 'em. Well, he always walks to his office with a wery handsome gold watch-chain hanging out, about a foot and a quarter, and a gold watch in his fob pocket as was worth--I'm afraid to say how much, but as much as a watch can be--a large, heavy, round manufacter, as stout for a watch, as he was for a man, and with a big face in proportion. "You'd better not carry that 'ere watch," says the old gen'l'n'n's friends, "you'll be robbed on it," says they. "Shall I?" says he. "Yes, you will," says they. "Vell," says he, "I should like to see the thief as could get this here watch out, for I'm blest if *I* ever can, it's such a tight fit," says he; "and venever I wants to know what's o'clock, I'm obliged to stare into the bakers' shops" he says. Well, then he laughs as hearty as if he was a-goin' to pieces, and out he walks agin' vith his powdered head and pigtail, and rolls down the Strand, vith the chain hangin' out furder than ever, and the great round watch almost bustin' through his grey kersey smalls. There warn't a pickpocket in all London as didn't take a pull at that chain, but the chain 'ud never break, and the watch 'ud never come out, so they soon got tired o' dragging such a heavy old gen'l'm'n along the pavement, and he'd go home and laugh till the pigtail wibrated like the penderlum of a Dutch clock. At last, one day the old gen'l'm'n was a rollin' along, and he sees a pickpocket as he know'd by sight, a-comin' up, arm in arm vith a little boy vith a wery large head. "Here's a game," says the old gen'l'm'n to himself, "They're a-goin' to have another try, but it won't do!" So he begins a-chucklin' wery hearty, wen, all of a sudden the little boy leaves hold of the pickpocket's arm, and rushes headforemost straight into the old gen'l'm'n's stomach, and for a moment doubles him right up vith the pain. "Murder!" says the old gen'l'm'n. "All right, sir," says the pickpocket, a wisperin' in his ear. And wen he come straight agin, the watch and chain was gone, and what's worse than that, the old gen'l'm'n's digestion was all wrong ever artervards, to the wery last day of his life; so just you look about you, young feller, and take care you don't get too fat.'"

from *The Pickwick Papers*

EXERCISE VI

A. Ask the students to examine the syntax of passages (1) and (2); then suggest that they rewrite passage (1) in the style of passage (2). Ask them to explain what grammatical changes are necessary , e. g. the excision of connectives, the excluding of subordination, etc.

1. "The appearance of everything on the Lines denoted that the approaching ceremony was one of the utmost grandeur and importance. There were sentries posted to keep the ground for the troops, and servants on the batteries keeping places for the ladies, and sergeants running to and fro, with vellum-covered books under their arms, and Colonel Bulder, in full military uniform, on horseback, galloping first to one place and then to another, and backing his horse among the people, and prancing, and curvetting, and shouting in a most alarming manner, and making himself very hoarse in the voice, and very red in the face, without any assignable cause or reason whatever. Officers were running backwards and forwards, first communicating with Colonel Bulder, and then ordering the servants, and then running away altogether; and even the very privates themselves looked from behind their glazed stocks with an air of mysterious solemnity, which sufficiently bespoke the special nature of the occasion. from The Pickwick Papers

2. "'Warm!--red hot--scorching--glowing. Played a match once--single wicket--friend the Colonel--Sir Thomas Blazo--who should get the greatest number of runs. Won the toss--first innings--seven o'clock a. m.--six natives to look out--went in; kep in--heat intense--natives all fainted--taken away--fresh half-dozen ordered--fainted also--Blazo bowling--supported by two natives--couldn't bowl me out--fainted too--cleared away the Colonel--wouldn't give in--faithful attendant--Quanko Samba--last man left--sun so hot, bat in blisters, ball scorched brown--five hundred and seventy runs--rather exhausted--Quanko mustered up last remaining strength--bowled me out--ahd a bath, and went out to dinner.'" from The Pickwick Papers

B. Suggest that the students perform the same operations described in A as before on passage (3). Ask them to discuss how the differences between the style of the original passage and that of their own rewriting suggest that the passages were written for different satirical purposes.

3. "'The contest,' said Pott, 'shall be prolonged so long as I have health and strength, and that portion of talent with which I am gifted. From that contest, sir, although it may unsettle men's minds and excite their feelings, and render them incapable for the discharge of the every-day duties of ordinary life; from that contest, sir, I will never shrink, till I have set my hell upon the Eatanswill Independent. I wish the people of London and the people of this country to know, sir, that they may rely upon me--that I will not desert them, that I am resolved to stand by them, sir, to the last.'"

from The Pickwick Papers

A CURRICULUM FOR ENGLISH

Teacher Packet

THE HISTORICAL NOVEL

Grade 8

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Experimental Materials
Nebraska Curriculum Development Center

I. ARTICULATION:

This packet contains a statement of the objectives and articulation of the unit, an annotated bibliography, background materials, and suggestions for procedure and extended activities. The background materials develop critical prospectives on the novels as literature. Historical information on the "setting" of the novels is included in the student packets. The teacher is urged to study carefully the background materials in this packet, and the historical information presented in the student packet. They will help him lead his students toward a critical insight into these novels in particular, and toward a deepening awareness of the character in the use of the hero as part of the general rhetoric of this literary form.

The analysis of the historical novel should prepare the students not only to read other historical novels, but also to read other works of an historical or putative-historical character, especially the epic, which is extensively studied in the 9th and 12th grades. The remarks included above will indicate why this is so. The student should be made aware of the similarity between the epic, to which he has already been briefly introduced, and the historical novel. Both are grounded in historical fact, though the epic takes more freedom with the reporting and interpreting of past events. The journey novel, which the student has just studied, is also related to the historical novel. The asocial picaresque hero formulates critical judgments on the men and manners of his time; the hero of the historical novel is sometimes able to do this, sometimes not, but the total effect of the historical novel is always a kind of critical judgment of the past. Indeed, the historical novel or one of its normative heroes can function in a manner very like that of the picaresque hero in developing a perspective from which to view, and estimate, the world.

This unit builds toward the tenth grade study of the "Leader and the Group." The unit proceeds from the student's seventh grade work on myth and meaning. The historical novel, the student will realize, is a sophistication of the primitive human instinct for myth making. Like the myth, the historical novel (1) pictures reality as society knows it and (2) depicts the values and ideals toward which the group would move. The expression of present reality and future ideals is, however, more directly and more critically presented in the historical novel.

II. OBJECTIVES:

At the completion of this unit the student should have developed a basic understanding of the use of the "hero" in the historical novel and of his place in the historical novel's statement about history. With this understanding as a guide, the student might then be encouraged to read and think about other historical novels, particularly those listed in the bibliography of the teacher's packet. The unit is not, however, simply a study of literary form. The characters in the novels should be analyzed in respect to the qualities of courage, justice, and control that are traditionally associated with the hero; the handling of fictional "point of view" and such matters of technique should also be considered.

III. HISTORICAL NOVEL:

A. The Significance of the Historical Novel

The historical novel should help the student develop a capacity for making judgments. The historical novelist, the student should come to realize, is arranging historical data into a meaningful pattern. The pattern, which the novelist consciously works out or which his imagination unconsciously suggests to him, interprets society, interprets political action, and interprets man himself, insofar as man is an element in an historical process. The pattern, or meaning of history, that the novelist proposes will seem more or less valid depending upon (1) the solidity of the characters whom he portrays as caught in the midst of these events; and (2) the extent to which the novel seems to capture the "spirit of the age" with which it deals. The usual devices of the novelist--for example, techniques of symbolism, viewpoint, characterization, plot--are directed toward the creation of a believable and meaningful past. Since the subject of this year's study is the "hero" and the related subjects of characterization, point of view, etc., the unit tends to concentrate on heroes and characters in historical novels and the way in which understanding them helps us understand a novelist's version of the meaning of the past. The student should be taught to look as the heroes of historical novels look--for the pattern in the history which the novel renders. He ought to learn to think of the discovery and examination of this pattern as one of the most significant and rewarding aspects of the study of this kind of novel.

B. The Perspective of the Historical Novel

The "perspective" of the historical novel may be defined as the general point of view from which the novelist treats his events. The psychological impact of an historical event on a character may be, for example, one device by which the author may create an interpretation for history. Tolstoy establishes his "perspective" in War and Peace primarily by displaying, in various ways, the psychological and moral impact of events. This is especially true in the battle scenes of the books, where the reader is introduced to the experience of battle and where crucial movements of history are depicted as a kind of mental and spiritual confusion. Religion, philosophy, politics, art may all furnish potential "perspective" for an interpretation of history, but generally the novelist, at least partially, works out a version of history and its meaning as he writes his book, perhaps reinforcing or reshaping a previously taken position (as Dickens does with Carlyle's position) or refuting the previously taken position by showing that it simplifies, distorts, or confuses "what really happened" (as Tolstoy does with Carlyle's position).

The student should be encouraged to look for the perspective or general "philosophic position," from which the author develops his ideas. As a novel becomes more complex, this task becomes more difficult. Part of the problem here is related to the problem of "point of view" in character study (cf. The Making of Heroes unit). In some cases, a historical novel's "point of view" may be the limited narrator's point of view as in The Red Badge of Courage; in others it may be an omniscient "point of view" as in The Tale of Two Cities. In the case of either kind of novel, we observe people observing history and making judgments as to what makes events happen, what the events mean, and what should be done next given the events which have just happened. We have to decide whether the people in the novel judge the events reliably. Moreover, our reading of the events is colored by the way the events themselves are reordered in the novel. The events as portrayed in the novel constitute a commentary--straight forward or subtle--on the events "which really happened." The student must be clear about what he thinks "really happened" to perceive what is the perspective from which the novelist views these events.

The student should be clear about the difference between what the novel says about the events and what some character in the novel says about them; this can be a particularly difficult problem when the author is in a "single mind" narrating from a limited point of view. Here the meaning of the event--if it is different from that which the main character observes--must be communicated indirectly by symbol, irony, suggestion, control of consequence in the plot and so forth. If the author is in a single mind throughout the book and that "mind" is a reliable one or if the author uses an omniscient point of view but sees most events from the slant of a reliable, honest, perhaps "innocent" character whose sense of the meaning of events is not obviously contradicted by the events themselves (or by the reaction of other reliable characters), then the reading of the events given us by the "single" or "central" mind, the limited narrator, is probably pretty much also the book's (the author's) reading of them. In other cases, the limited narrator or first-person narrator may be undercut. He may be shown to be blind. He may be shown to be solipsistic and selfish. He may be displayed as imperceptive and superficial, simply lacking in the intelligence, judgment, or good sense necessary to read the meaning of significant events. From time to time, Henry Fleming in the Red Badge of Courage is undercut in this way, and the reader has to construct the meaning of the events he experiences by watching more indirect clues than those provided by being in his mind.

In novels where the omniscient perspective is used, one may have a presentation of a whole spectrum of characters--some good and some intensely evil--none of whom perceive the full implications of the events they witness as these implications are suggested by other devices in the novel--the plot pattern, symbolism, and evocative language of the novel. Such is pretty much the case in The Tale of Two Cities. Sidney Carton does what history asks him to do (if the essay included in this packet concerning the Tale is accurate). Carton interprets history accurately, but he does not do this because he has the same sense of what history means as Dickens does. Carton hardly has any sense of history at all; he only has an intuition of what heroic qualities demand. No one in the Tale knows as much as the omniscient narrator does about the meaning of the events rendered in the Tale. On the other hand, in War and Peace, Napoleon has a strong historical sense, but he misreads the events as the author sees them; Kutuzov has a different historical sense and reads events as Tolstoy does; between these two is a whole spectrum of people who in varying degrees "understand" or "misunderstand" the history which they live through. We understand this by observing the difference between the events which Tolstoy's men live through (the causes of the events, their appearance and effects) and the way his men see these events. We also understand this because Tolstoy, particularly in the uncut version of War and Peace, tells us. He tell us what the history rendered in his book means, how it comes about, and which of his characters understand it correctly and act on a solid basis.

The "hero" in the historical novel may, thus, relate himself to history in two important ways:

1. He may act in history with a justified courage, justice or control; he then becomes like the epic heroes studied in the "Making of Heroes" unit, heroes who were also thought by the ancients to have been historical.
2. He may "interpret" or "read" the history he lives and either establish the novel's perspective on a set of historical events or establish one of the possible readings of events which the novel qualifies or disregards.

When the historical novel hero interprets history, he becomes different from the ancient epic heroes in this--that he has to try to find the meaning of historical events in the events themselves. He is not allowed the privilege of Achilles and Aeneas, the privilege of learning what history is and is for by having the Gods or their oracles tell him. The "perspective" from which a novel as a whole views historical circumstances and the "perspective" from which the hero views them may not correspond in a 1-to-1 way; students need to learn this. The analysis of a novel's perspective on history will often prove the best key to the nature of the historical ideas and the human values with which the novel is concerned.

C. The Literary Contribution of the Historical Novel

The student should be encouraged to estimate the historical novel in terms of its similarities to and differences from history and purely imaginative fiction. He will then have begun to form an idea of the literary contribution of the historical novel. The study of history does not generally concentrate, as does the historical novel, on the relation between the whole person and the events of his time. Other types of fiction, on the other hand, are not as concerned with established historical "fact" as history. The historical novel, in taking a middle position between "fact" and "imagination," is an intuitive, creative seeing into a real past. In the case of this unit, the novels are paired so as to display the contrasting perspective or closely related events which authors may create; both

Track A novels, A Tale of Two Cities and War and Peace, deal with the period French revolution and the Napoleonic wars and endeavor to demonstrate, from opposing perspectives, the function of the hero and the "causes of historical events" in that time. Both Track B novels deal with the period of the American Revolution and the "Napoleonic" years in America--the War of 1812; again the perspectives are different as are the heroes.

D. The Beginning of the Historical Novel

Sir Walter Scott is generally regarded as the father of the historical novel. But since this literary form gradually developed out of a variety of other genres, Scott's title is rather arbitrarily imposed. The Gothic novel, the romance, fictive reporting, and especially the level of manners are literary types that contributed something to the historical novel.

The Gothic novel, popular during the later 18th century, and still quite popular in our own day, treats of the mysterious, the miraculous, and the supernatural in faintly sinister, often medieval, settings. The favorite "stage" for the Gothic novelist is usually an old castle, a crumbling monastery, or, in our centry, an old house. The favored characters are ghosts, madmen, raving scientists, and sub-human monsters. The Gothic plot usually revolves on an ancient tale of murder, suicide, revenge, perversion, or a combination of these. Part of the attraction of the Gothic novel lies in its ability to recall a dim, romantic past. The very popular novel of romance treats the amorous attachments of its characters as a central issue. It usually twists the reality of human situations in order to glorify the inclinations of the heart, thus exposing the tenderest sentiments of the hero and heroine. War, for example, is often viewed only in terms of gay flags, rolling drums, and noble sacrifice.

Fictional reporting is fiction that is written as if it were fact. Daniel Defoe's Journal of the Plague Year, written in the mid-18th century, and Jim Bishop's 20th century The Day Christ Died are illustrations of fictional reporting. The novel of manners made perhaps the most significant contribution to the genre of the historical novel. The major concern here is with the sentiments and ideas of social groups.

The influence of some or all of these genres can be noted in most 19th and 20th century historical novels. In the Tale of Two Cities, for example, much of the novel turns on the romance between Lucy Manette and Charles Darnay; Dr. Manette's imprisonment and its gruesome effects creates a Gothic atmosphere. The description of the Terror combines techniques of the Gothic with fictional reporting. Dickens' careful delineation of the differences in manners between the French and English people, and between the upper and lower classes, is of paramount interest in the author's presentation of the Revolution.

Scott was, however, the first to write what is clearly recognizable as the historical novel. The enormous popularity of his books helped to raise the image of the novelist in the popular mind. After Scott, the novel itself came to be regarded more as a genuine literary form, and less as a somewhat disreputable and corrupting leisure time activity for both author and reader.

Scott began his career as an historical poet, working with the ballads and legends of the Scottish border. With the publication of Byron's romantic poetry, Scott's popularity with the reading public declined, and he turned to the novel. His first novelistic effort, Waverly (1814), is clearly an historical novel. Previous attempts at the historical novel--for example, Jane Porter's The Scottish Chiefs-- had been somewhat unsuccessful. In the general preface to the Waverly novels, Scott acknowledges some of his literary sources of imagination and gives a description of his techniques. Scott saw the past not as a stiff record of manners and events but as flesh and blood stuff. His historical imagination dramatized the customs, social conditions, feelings and opinions of past men, creating, as it did so, characters who not only reflected their own age but enjoyed a measure of individuality and eccentricity. But the rise of the historical novel in the early 19th century is perhaps as much due to changing social conditions and the broad acceptance of certain philosophical ideas as to Scott himself. The middle class was the major consumer of all types of novels; and as this class broadened and felt its power in English society more keenly, the novel increasingly reflected middle class tastes, ideas, and prejudices. The highly romanticized view of nobility in 19th century novels generally, and particularly in historical novels dealing with a rather remote past, is one example of how middle class opinions tended to influence the content of the novel. What the novels of this period extol are often middle class virtues. In Scott's The Heart of Midlothian, as an illustration, the unwillingness of the heroine to tell a lie, even to save her sister, is depicted as a general virtue of the common folk of Scotland; her moral obstinancy and courage eventually bring about a happy alteration of a severe law. This change, effected by a simple girl, is clearly a class triumph. Scott's middle class readers could easily identify their own ethical standards with the industrious and thrifty Jeannie; and they could as easily see in her victory their own growing power in the English Church and State. One may remark that the English middle class and portions of the working class were, in the early nineteenth century, acquiring a sense of history through the publications of societies for the advancement of knowledge, etc.

E. Bibliographies

Bibliography for the historical novel as a genre

Baker, Ernest A. The History of the English Novel. X Vols. (London, (1929). Volume VI of this classic study of the English novels and novelists is well worth reading for a view of Sir Walter Scott and some of the writers who influenced him.

Cross, Wilbur L. The Development of the English Novel. (Macmillan: 1933). The historical novel is generally divided into novels of romance and novels of realism. The book covers the novel from its roots in Medieval romance to it present state, and pays some attention to foreign literary influences on the English novel.

Edgar, Pelham. The Art of the Novel. The chapters are essays on particular novelists. (Macmillan: New York, 1933). Chapter VII, treating Scott, gives points of view on historical novels generally.

Van Ghent, Dorothy. The English Novel: Form and Function. (Harper Torchbooks: New York, 1953). The writer's techniques of analysis, especially in regard to Scott, demonstrate rewarding ways of thinking and re-thinking about the novel.

Lukaç, Georg The Historical Novel. (Mulin Press: London, 1962). The social implications of the historical novel are examined.

Tompkind, J. M. S. The Popular Novel in England 1770-1800. (Bison: University of Nebraska, 1961). The author considers the social and philosophical background of the early historical novels.

Watt, Dan. The Rise of the Novel. (Berkeley: University of California Press). The first two chapters of the book discuss the philosophy of the novel and the character of the early novel-reading public.

Bibliography for A Tale of Two Cities

Baker, Ernest A. The History of the English Novel. Vol. VII. (London: H. F. & G. Witherby Ltd., 1936). A general view of the Tale of Two Cities by one of the best critics of the English novel.

Chesterton, G. K. Charles Dickens. (New York: Dodd Mead & Co., 1920). This very fine book explores Dickens and his work in Chesterton's inestimable manner.

Ford, George F. Dickens and His Readers. (Princeton, New Jersey: Princeton University Press, 1955). The history of Dickens' criticism, from his earliest to his most recent critics.

House, Humphrey. The Dickens World. (London: Oxford University Press, 1941). The work of Dickens is examined under various headings. The sections on Dickens' attitudes toward religion and politics are particularly interesting.

Johnson, Edgar. Charles Dickens: His Tragedy and Triumph. 2 Vols. (New York: Simon and Schuster, 1952). Dickens' life and estimates of his novels are included in this very detailed study.

Lindsay, Jack. Charles Dickens. (London: Andrew Dakers, Ltd., 1950). This is another biographical and critical study.

Bibliography for War and Peace

Fausset, Hugh I'Anson. Tolstoy, the Inner Drama. (London: Jonathan Cape, 1927). Part III of the book treats War and Peace.

Slonim, Marc. The Epic of Russian Literature. (New York: Oxford University Press, 1950). A general view of Russian literature, but Chapter 15, which deals with Tolstoy, gives a good general view of War and Peace.

IV. Johnny Tremain

The teacher should encourage the students to look for meaningful patterns in the historical events leading to the American Revolution. This should not be difficult since Johnny Tremain himself, with whom the students will probably identify, is engaged in finding a meaning for what is happening. Though the "point of view" of the book is omniscient and we are in several minds as we read the book, we are pretty much asked to accept Johnny's reading of history (students may wish to quarrel with the view that the book asks us to take Johnny's position and they should be encouraged to do so--to show instances where Johnny is undercut). Johnny eventually allies himself with the revolutionary movement, but he is not so fanatically dedicated to it that he cannot feel any sympathy for the loyalists and to some extent see their point of view. He has to sort out "goodies" and "baddies" on a more complex basis than that provided by simply knowing who is on what side. In this respect, Johnny if different from Rob. Rob is a dedicated Whig from the beginning, and his heart is set on fighting. He does not make Johnny's complex judgments. As Johnny judges, he sees that Mr. Lyte is an example of a "bad" Tory, one who has apparently aligned himself with the British side out of commercial motives. His punishment by the Milton mob, and his stroke, consequent upon the attack, turns him into a somewhat pathetic figure. Lieutenant Stranger is an example of a "good" Tory. He takes an interest in Johnny, can laugh at a joke played on him, and is careful to exercise tolerance for the populace in general. The patriots do not appear in Johnny's eyes as stereotyped heroes. Paul Revere and Dr. Warren are kind, great men for whom Johnny has unqualified admiration, but Sam Adams is pictured as a radical who is trying to manipulate his compatriots and the populace as a whole. Johnny does not, as the narrative clearly shows, totally approve of Sam Adams. Dr. Church is a revolutionary only because of the advantages it may bring him, just as Mr. Lyte is a Tory for buiness, rather than political, reasons. Uncle Lorne is a patriot, but a somewhat timid one. The student should be made aware that the author has not presented a "good" side and a "bad" one in the novel. When Johnny becomes a member of the rebels, he has seen more greys than blacks and whites and he joins out of chance as much as out of conviction. James Otis' speech gives him, finally, a sufficiently philosophical basis for his activities. But even so, Johnny is aware of the value of the passing political order. As a British flag moves past him in Boston, he cannot decide whether to remove his hat, for the first and last time since Gage arrived in Boston, or not.

In making a judgment on the men and events involved in the Revolution, the student is probably experiencing an interpretation of history different from his own. He is learning that the Revolution did not turn on simple black-and-white distinctions between the evil, bumbling redcoats and the virtuous, efficient Americans. It is not a question of tyranny or freedom in Johnny Tremain. This is the cry of Sam Adams. The real issue, as Johnny himself finally understands, is between English liberty and American liberty. Johnny is a reliable judge of the events which the author creates for him to observe.

The social situation of pre-Revolutionary America to which the student is introduced may also be something of a surprise to him. Johnny is rejected as a human being in the early part of the novel because he is not, with his burned hand, an economically useful instrument. Even Mrs. Lapham, in her role of a substitute mother, rejects him, grudging the very food he eats at her table. Johnny finds the rest of society indifferent to him; at best, society can only pity him, as does Mr. Hancock. The personal warmth of Rab, who does not grudge Johnny food, but instead asks him to sit down with him and share his dinner, surmounts the coldly commercial treatment Johnny has received from his society. Because of Rab's kindness, Johnny regains his faith in society. At the end of the book, significantly, he finds that he belongs to the land and the people.

Problems of justice enter into the story and the students should be made aware of the many questions concerning social and political justice Johnny Tremain faces. Mr. Lyte's attempt to hang Johnny, and the stealing of the cup, is a problem of "justice," no less than Johnny's rejection by society, the Boston Tea Party, and the whole Revolutionary War are questions of justice. Johnny's historical verisimilitude, or probability as a character in this particular historical setting, is greatly enhanced because he confronts key issues of society and politics. He is directly involved in such issues, and is not merely an onlooker.

The general viewpoint from which the story is told is the viewpoint of adolescence. The student should be made aware of the fact that the narrative is framed, and to a certain extent colored, by a boy's struggle to grow up. This has some bearing on the interpretation Johnny gives to what he sees going on around him and perhaps should qualify our previous remarks about Johnny as "reliable observer." He is, for example, quite idealistic; his idealism makes him usually sensitive to James Otis' patriotic appeal. The deep hurt he feels over Isannah's attitude toward his hand, his despair over his social rejection, his deep admiration for Rab, are other manifestations of the idealism and sensitivity of youth.

Some of Johnny's problems are typical problems of a "growing boy." He feels the first pangs of romantic love and jealousy, for example, and develops a significant friendship with another boy his age. He comes to realize his responsibilities as an adult. His attempt to protect Isannah from Lavina is an illustration of his increasing maturity; his changed attitude toward Dove, when Dove becomes a stable boy for Afric Queen, is another. Johnny is not only figure-set-in-history, the students should realize, but an individual as well.

Johnny Tremain should be related as closely as possible to the other heroes the student has met in the course of his study of literature. Johnny is finally a courageous boy, though he does not become courageous without a struggle against the "cruel eyes" of the musket. He continually demonstrates a deep passion for justice--whether the general, social justice, which James Otis pleads for, or the justice to a child, such as Isannah, which Johnny demands from Lavina. Johnny's control over himself grows throughout the novel. His hatred for Dove and for the Lathams, for example, eventually becomes sympathy for them. His prudence is so noticed by leaders of the revolutionary movement that they trust him with highly important information.

The students should be asked to assess Johnny's vision of the American revolution when they have finished Johnny Tremain. Having read a historical novel, they might very profitably discuss the differences between history and the historical novel and between the purely fictional novel and the historical novel.

V. Captain from Connecticut:

Captain from Connecticut is essentially a novel of manners set in the War of 1812. Since everything is viewed and interpreted through the eyes of a highly disciplined American naval captain, the novel's scope is rather limited. The story is deficient in one important respect: it does not explore Captain Peabody in any depth. Peabody seems scarcely human at times, especially when he paces the quarter deck of the Delaware. But lack of depth of character is not an uncommon failure in historical novels of manners. If the customs, ideas, and prejudices of an age are the novelist's first concern, then his hero must be capable of giving them as nearly perfect a reflection as possible. Obviously the hero will be a "type" of man, one formed by his age and one who does not often judge the world differently than does his age in general. The plot of the historical novel of manners is usually little more than a vehicle for allowing the author to display the hero as a man of manners.

The captain from Connecticut does, however, display enough individuality to seem believable. In the last chapters of the novel, when he falls in love and must decide between loyalty to his new wife and loyalty to his duty, he seems more nearly like us and thus more nearly believable. The episodes of Peabody's early life, which now and then flash into his mind, also tend to give the figure of the hero individualistic proportions. Some of the reading and discussion questions in the student packet are designed to help the student come to understand how Captain from Connecticut functions as a novel of manners and as a historical novel.

The author of Captain from Connecticut has internalized, in the figure of Captain Peabody, a number of generalized social problems. Peabody's instincts are those of the Connecticut farmer; he wishes to deal with life in a simple, direct way, and scorns the "niceties" of society. But his position as Captain of the Delaware forbids him to do this. Time and again, he is forced to bridle his temper and assume the "correct" position. In the incident between the Delaware and the

Tigresse, for example, he must apologize, though he hardly wishes to do so. His treatment of captured enemy captains, his attention to protocol while he anchors in a neutral port where ships of the enemy are also anchored, and his clumsiness on the dance floor are further examples of the galling which can be produced by the harness of accepted behavior. In the person of Captain, the refinement of the Old World meets the vigor of the New; it is up to him to resolve the sometimes contradicting claims of both.

There is another social conflict internalized in the soul of Captain Peabody. In the eyes of society and in his own eyes, he is not only a fighter, but a diplomat. He must consider strategy as well as tactics. Peabody dislikes the mission on which he has been sent; he does not think it quite honorable that he must run from the enemy war ship, if he can, in order to prey on Britain's helpless merchant shipping. Such a policy fits well into America's strategy for the war; but it runs counter to a navy man's idea of himself as a tactical weapon against an enemy navy. In other words, Peabody finds himself torn between the role a naval captain *ought* to play and the role his orders demand that he play. At times he thinks of himself and his ship as a jackal among sheep. His behavior in this strife between honor and necessity is well worth noting (cf., for a contrasting stance, the behavior of Captain Vere in *Billy Budd*, 11th grade, *Sin and Loneliness*.)

A third social conflict, between enterprise and Providence, enters into Peabody's thinking. The duty of man is to do all he can to arrive at the happiest solution to a given problem, but Providence, to Peabody's way of thinking, finally decides whether a man is to be successful or not. Sometimes Providence will work against a man in an obvious way while expecting the man to fly in her face. "Even a losing battle must be fought out to the end," Peabody remarks, as the *Calypso*, *Racer*, and *Bulldog* close on him. "If Providence had declared against him he must fight Providence to the last, for that was the only way to earn the approval of Providence." Peabody is constantly faced with the difficulty of trying to reconcile his own independence with what he believes to be the acts of Providence. He is only content when he can do nothing, when everything depends upon the will of God. He is thus a kind of representative of the Puritan dilemma. He sees the universe as completely controlled by Providence; yet he is also convinced of his own power to alter the course of events. There is really no very good solution to such a paradox. The only answer, perhaps, is the duel. In an evenly matched duel, with each of the antagonists attempting to destroy the other, man is comfortably helpless while Providence makes a life-and-death decision. Peabody arranges such a duel in the final pages of the book. Though convinced he will be killed, he keenly anticipates the battle. Only the arrival of the packet boat from Europe with the news of peace prevents the Providential decision. Much of Peabody's courage and serenity in the heat of battle arises out of his Calvinistic conviction that he is in the hands of Providence. His position is here very like that which is parodied in *Billy Budd*, as that novel is interpreted in the 11th grade "Sin and Loneliness" unit.

Peabody's conscience, despite the external state of affairs, determines the morality of his actions. When he finds that the duel with Davenant was not truly a duel, for example, he refers to his previous intention to fight a real duel. This reference to his intention, and not the fact that no duel has been fought, satisfies him. He does not explain the situation to the British captain and grant him the right of redress once more. Peabody's moral guide, in other words, is inside, not outside him. He is, once more, in his dependence on conscience unsupported by outside authority, the Puritan and Calvinist.

An emphasis on manners is typically combined with romance in the historical novel. The captain's sudden love for Anne de Villebois is treated in the fashion of romance writers: Anne is appreciated more for her physical qualities, for her femininity, than for her mind and moral qualities. There is some justification in the structure of the novel, however, for the Captain's reaction to her. His Calvinistic beliefs, beliefs so strong that he believes it sinful to think of women, have sheltered him from romantic involvements. His strict attention to duty and the nature of his work, plus the haunting memory of his mother, have also kept him away from feminine society.

Peabody is not, by any means, a perfect man. Now and then his opinions will reflect the ignorance of his age. His distrust of Dr. Downing's medical theories is one examples of such ignorance. He is a proud man, often blind to his own faults. His readiness to fight a duel, his casual attitude toward Jonathan's insolence aboard ship, and the sharp attention he pays to the discipline of his officers and crew testify to the nature of his pride. He can also be a vicious man: his treatment of the Negroes captured off St. Kitts, for example, is not sympathetic, although it does prove effective.

The most difficult decision of his life comes after his fight with the pirates. His near escape from death and Anne's tenderness to him during his convalescence tempt him to forget battle and to finish the war by remaining in the Martinique harbor. But he chooses duty before love. This is in sharp contrast to the choice of his brother Jonathan.

Students should be encouraged to examine Captain from Connecticut as the study of an 18th and early 19th century man, and as an example of a particular type of historical novel, the historical novel of manners. In this type of novel, manners determine morality; in fact, manners are morality in many instances. Some of the reading and discussion questions in the student packet are designed to help the student understand Captain from Connecticut as a novel of manners and historical novel. They should also be asked to recognize the frequent shortcomings of this type of historical novel, a type in which the honest delineation of character is subordinated to an effort to give a superficial picture of the manners of the time. The use of a romance theme in the novel might well be pointed out. A profitable discussion might question the "reality" of the novel's historical surface and the plausibility of the romance theme within the novel. A consideration of the manners as they affect morality can lead to an attempt to judge Captain Peabody in terms of courage, justice, and control. All three of these virtues as the Captain exhibits them are rooted in the Captain's attitudes toward Providence and his concept of duty.

VI. The Hero in *A Tale of Two Cities* and *War and Peace*: Carlyle, Dickens and Tolstoy.

The two Track A novels in this unit raise more serious questions of "philosophy of history" and deal more profoundly with the question of the function of the hero than do the two Track B books. Both books are concerned with the period of the French Revolution and the Napoleonic Wars; both are efforts to discover what made these cataclysmic revolutions devoted to the annihilation of past things and to the creation of new ones. Both can be seen as taking their point of departure from the work of Thomas Carlyle, the greatest 19th Century English artist-historian and the one Englishman who wrote "popular histories" favorable to the French Revolution and Napoleon.

A. *A Tale of Two Cities*:

Thomas Carlyle has been seen as the first precursor of Hitler's kind of philosophy, the first Fascist, the first real critic of democracy, and the most radical thinker of the 19th Century. None of these views of Carlyle is precisely accurate; they suggest why his kind of view of history interested Tolstoy and Dickens. Dickens' book may be seen as an effort to extend what Carlyle says; Tolstoy's, as an effort to attack it; Dickens, in his introduction to *A Tale*, says that "no one could hope to add anything to the philosophy of Mr. Carlyle's wonderful books" (*The French Revolution*). On the other hand, Tolstoy, in the uncut version of *War and Peace*, constantly attacks historians who express views like those of the author of *The French Revolution* and *Heroes and Hero Worship*. One may well inquire what these great novelists saw in Carlyle's kind of vision of history that made it worth supporting or attacking.

If Scott "invented" the historical novel (that is, made it a popular genre), Carlyle "invented" history-writing as an exercise in displaying a philosophy of history--made it a popular genre in 19th Century England. History writing with Carlyle was as much an act of imagination as of research. He became popular because he brought to the writing of history such a literary flair, such a capacity for making heroes vivid and mob actions massive, battles epochal and peace ominous, such a capacity for handling Biblical language, historical dialogues, razzle-dazzle figurative language, paradoxes, pithy epigrammatic statements, as made the novel in his period seem almost dull by comparison. Small wonder then that novelists learned from his literary technique--particularly Dickens. Carlyle's philosophy of history and the literary technique which he uses for rendering it are, of course, one. But for the purposes of this discussion, we may separate the two. What did Dickens mean by the "philosophy of Mr. Carlyle's *Wonderful Book*"?

Carlyle believed that nature is best understood not as a "machine" with an unchanging system of regularities (a clock, for instance) as earlier scientists had seen it but as a self-correcting organism, a kind of living-dying animal, in which nothing can happen in exactly the same way twice and in which constant adjustments, changes, permutations--casting away of old chrysalides--are part of the life process. In the center of this on-going life in Nature, Carlyle saw a spirit-life, a divine fiery Imagination constantly making new "poems," new things in nature and discarding old things. This spirit-life or divine Imagination is Carlyle's version of God. As old species are discarded, new are thrown out by the cosmic Energy. Man, Carlyle saw, as either trusting his intuition, his vital energies and imagination, and cooperating with the Life that impelled nature or as standing in the way of this Life by regarding the world as like a clock, trimming his imagination to mere piddling and counting out "atoms" in the technologist's science-house, or frittering his life away in efforts to preserve things which nature and man's inner needs would shed, which the divine Imagination will surely destroy, and which tend to make man's life mean, meaningless, contemptible. The man of intuition, the prophet, the priest, the "king," and the mob-member under absolute conviction of the rightness of his action--these trust to intuition, questioning nothing of what they do, as they move with a God-like poetic fury.

Carlyle looked to history to see what in the long record of man's existence corresponded to the "natural" organic processes of death and emergence and the Life-Force which he saw as governing these processes. He saw, or thought he saw, the "divine" expressing itself in history by shedding off whatever institutions or procedures in man's social order are irrelevant to his collaborating with the divine energy and creating in their place forms of social life which are "vital." Concomitantly, he saw the god-like as appearing in history in two forms: (1) the divine fury of mobs and great armies, which so rely on intuition as to be absolutely confident of their rightness in destroying what is dead or petty or socially unfunctional (whatever does not keep alive the energy of a people, relate them to their landscape and or to the creative "life-force"); and (2) the divine energy of heroes who lead mobs and masses of men after they have destroyed the useless and old and make them, en masse, subservient to a new will and purpose. The hero gives the masses a job to do in rebuilding a new vital kind of social organism; he reinvests life with meaning.

Dickens saw history much as Carlyle saw it. Carlyle saw his own age as one of chaos and social degeneration. England's expansive industrialization throughout the 19th century had disrupted national life to an incredible extent; workers were crowded into sprawling slums of the industrial towns, they found themselves at the mercy of rapacious employers, often lost their jobs through no fault of their own, and were given over to starvation and gin. No wonder that they smoldered with resentment against a society that so unjustly imposed its burdens upon them. Carlyle correctly saw that the nation was in the midst of a revolution. For the time being, it was a purely industrial one, but he warned that unless something was done, some sweeping provision made for industrialized society as a whole, the inhuman industrial revolution would become a quite human revolution of the oppressed against their oppressors. He argued that nature, or the law of the universe, was such that it would visit retribution on a ruling class that had so completely given themselves over to the worship of profit (Mammonism) and pleasure (Dilettantism). He saw France as having thrown off one old shell in the French Revolution; he saw England as ready to throw off another.

Dickens, in A Tale of Two Cities, takes an analogous view of British Mammonism. Tellson's Bank and the British nation are compared in Chapter 2 of Book II. The compariosn is possible because both resort to one recipe for success: death. The same tomb-like atmosphere dominates both France and England; in both countries the tomb is sealed in blood and cruelty. France's tomb is the Bastille; England's tomb is her institutions, especially her commercial institutions--Tellson's Bank. (In Bleak House and other of his novels, Dickens often uses the image of the tomb and the prison to describe the worst aspects of English society). England's people are no better than its national institutions. The crowds at Old Bailey are like blue flies, waiting to descend upon a piece of carrion; when Charles Darnay is acquitted, they are disappointed. Such images as flies, jackals, lion, dog, deer, and so forth tie the English portion of the novel together on a symbolic basis. Through this symbolical technique, Dickens is suggesting that the "civilized" industrial city is itself a jungle. The instincts of its inhabitants are the instincts of vicious animals. Sydney Carton, for example, before he asserts himself, is characterized as a jackal. An ancient belief held that the jackal brought down the lion's prey. Sydney, who is the brains behind Mr. Stryver, gains the lawyer's fees for him. However, it is chiefly in the French portions of A Tale of Two Cities that Dickens picks up from Carlyle's vision of the meaning of historical change as it relates the masses and their heroes.

In "A Parliamentary History of the French Revolution," an essay in Critical and Miscellaneous Essays, Carlyle describes the French Revolution as "the event of these modern ages." "Since the time of the Crusades," he writes, "there is no chapter of history so well worth studying." The French Revolution, he claims, "was at bottom an attempt to realize Christianity, and fairly put it into action, to get French Revolution in our world. For eighteen centuries (it is not denied) men have been doing more or less that way; but they set their shoulder rightly to the wheel, and gave a dead-life, for the first time then." Carlyle saw the divine as coming into French history in the French Revolution's "Christianity" and mob energy, its revolt against sham Christianity and Bourbonism, and Dickens seems to have seen the French Revolution in a similar light--as the product of an intuitive "divine" throwing off of a sham political shell by a justifiably violent mass of men moved by a creative energy beyond themselves and by historical forces whose source lies in an Energy outside history. In the end, he sees it as an effort to realize a new spiritual vision. Dickens is not interested in the historical fact of the French Revolution as historical fact; he is interested in it as it resulted from, and led to, the abuse of one class by another and so illustrated Carlyle's law of historical retribution on sham-selfish ruling classes. Hence, in the first half of the book, the aristocrats, exemplified by the character of the Marquis, are clearly the "villains." Their actions speak against them as does Dickens' devastating commentary. In the second part of the novel, after the Fall of the Bastille, the people of Paris are seen as even more ruthless than were their former oppressors, but, as the seamstress suggests, theirs may be a ruthlessness which is a necessary part of the resurrection of the sense of justice (Book III, ch. 15). The ruthlessness of the mass is not without hope, the possibility of resurrection though few scenes in the novel of 19th century are more brutal than those found in "The Grindstone" chapter of Book III.

Dickens, through a number of devices, creates the sense that the mass acts as a single organism inspired by a mysterious "Imagination" or "Force" which lies outside of history. First, he uses a species of symbolism or suggestion which hints that all poor men in France are as one, that all are moving in one direction, a direction "prophesied" by mysterious events and symbolic occurrences. He begins the novel with a first chapter that estimates the historical situation; he speaks of "we", meaning the people, the masses. The figures of the Farmer, who is sowing dragon's teeth of vengeance, and the Woodman, who is preparing the tumbrils for the condemned, are symbols of the rising mass force of resentment against oppression. Nature and accident and man all say the same thing. The guillotines are growing; the wine spilled before the Defarge shops spells "Blood;" Madame Defarge pours from her knitting needles imaginative symbols of the coming conflagration. France, its mass animated by a single life, is poised to spring.

The representatives of the old forms do not read the prophecies and are, in Carlyle's phrase, "Sham." They consider themselves lords of the earth, capable of any "miracle." Dickens, ironically refers to them on the first page of the text as the "lords of the state preserves of loaves and fishes," a reference to Christ's miracle of multiplication of loaves and fishes. Bourbon civilization calls itself Chrisitan, but it is not at all Christian. The civilized brutality made manifest in the gallows, the wheel, and other instruments of torture and death show clearly enough how *Christ-like* is the "Christianity" of the peoples of France. The Christianity of the *ancient regime* is a Carlylean dead shell. The hollow "sham" Christianity of the aristocrats has its reflection in other "sham" religion. The subject of miracles is extended into chapter 2 of Book I. Mr. Lorry is raising a man from the dead. Yet this resurrection is not joyful, but ominous, And other divinities threaten to replace the Christian order: the Dead Sea *divinities*, offering baskets of Dead Sea fruit (traditionally filled with the ashes of bitterness) which surround the mirrored image of Lucie Manette, when Mr. Lorry first sees her, are of ominous portent. Later in the novel, these figures are personified. Madame Defarge is a female divinity, as is The Vengeance and the rest of the starved and crippled crowd of women who live in the St. Antoine sector. Madame Defarge and her *knitted* symbols are the expression of a kind of *personified* mass will to avenge the sins of the past on the present; she is one kind of Carlylean hero—the hero as destroyer of the old order--the personification of mass chaos and mass intuition.[1]

Dickens uses exemplary characters to set forth his historical view of the relationship between old forms and new energy. The old order is partially symbolized by the Marquis St. Evremonde. The portrait of the Marquis is drawn in much the same way that Carlyle drew the leaders of the old order in The French Revolution. The Marquis' manners, philosophy, and brutality are meant to typify the French aristocracy. His murder is a microcosm of the revolt; that is, it symbolizes the larger, national upheaval that is to take place and makes us feel that a mysterious energy is animating the masses to throw off sham. He also suggests the laws of compensation which govern history. Evremonde kills Gaspard's son; Gaspard kills him; Gaspand is killed; Defarge destroys Evremond's "House"; Evremonde destroys Defarge's sister; Defarge destroys Evremonde's son--almost. The blush on the Marquis' face as he tops the hill on the road to his chateau, the ghost-like appearances of his assassin, and the stone faces that decorate his mansion are all symbols which lead the reader to realize the Marquis' murder is no isolated incident. An historical law is in operation. Only so much oppression of the poor is possible before the people spring up to avenge themselves and the dead. The stone faces on the chateau are frozen into an immobility of attitude; but eventually even these stone faces change, or seem to, out of rage and shock. So too, the aristocracy changes. Just as the chateau is finally destroyed by the arsonist, age-old customs dissolve and crumble as the structure of the nation is beset by the fire and storm of Revolution. Privilege becomes penalty.

In Book II, what is prophesied, what is organic historical law, what has been "imagined in the divine imagination" comes to pass. The past is always and everywhere present; historical laws are always and everywhere in operation. The storming of the Bastille, the scenes of the brutality of the mob, and the burning of the chateau show the tremendous power behind these historical laws. Charles Darnay is drawn to Paris as to loadstone rock (a loadstone rock is a natural magnet). Just as his honesty took him away from France, so his honesty brings him back. The human being cannot escape from the historical organism that catches him up. The image of a storm and fire, and the comment on Judgment Day, refer to the interpretation of Judgment Day as it appears in John's "Revelations." The judgment of the rich by the poor is a turning upside down of the social order; it is rendered all the sharper by the comparison to John's description of the Final Judgment of the earth.

In Book III, the Revolution is seen in its full furry. Now it is the Revolutionists who become the oppressors. Charles Darnay is imprisoned unjustly and held in secret under the New Regime just as Dr. Manette was unjustly imprisoned and held in secret under the Old. The nobility that Charles sees in prison are as passive and bewildered as the poor were under the former government. The Revolutionary fervor to purge society is seen as satanic at times: this is especilly true in the scene at the grindstone in chapter 2 of Book III. As the revolutionary fervor becomes satanic, the need for a "hero" who will stop the retributive process when it has done enough (when it has its justice and has destroyed sham, when it seems to be destroying for the sake of destroying) becomes evident. Dickens' "heroes" are Darnay and Carton, and they too may be better understood if they are laid beside Carlyle's savior-heroes. One may look at Carlyle's conception of the historical hero before looking at Dickens' two historical novel heroes.

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[1] The absolute squalor of the St. Antoine sector itself and the wretched condition of Dr. Manette are also ominous signs of the coming historical tragedy.

The only way for any country caught in the cycle of retribution and chaos to save herself, Carlyle argued, was for it to raise up heroes. A country's progress, he insisted, has always depended upon its heroes. He defined the leader-hero as (1) a completely selfless man, (2) endowed with a prophetic wisdom, (3) able to inspire and organize his society. His authority could legitimately be absolute because his vision and ability had been conferred upon him by God or "Nature," a vision and ability which a "vote" of the people would never provide them with. Indeed, Carlyle regarded voting a mechanical procedure, unfit to provide society, an organism ruled by inscrutable laws, with true leaders. The totalling up of decisions of petty men's wills could not make a hero-leader; the trust of the people had to be in the men nature had clearly endowed with heroic qualities--such men as Mohammed and John Knox (the hero as prophet); Milton, Dante, Shakespeare, and Rousseau (the hero as man of letter); Mirabeau, Cromwell and Napoleon (the hero as warrior). The hero's capacity to inspire and organize society could be direct (as in the instance of Cromwell) or indirect (as in the instances of Dante and Shakespeare and Milton). Whatever his type, the hero brought a spiritual awareness to his followers. He led them away from false loves, all of which consist essentially in worship of the self, toward a new world, and society where the values of the spirit (or intuition) and the social were primary.

Carlyle believed that Mirabeau and Danton were the potential leaders of the French Revolution in as much as they possessed, in some degree, the three qualities listed above. But because they failed to secure control of the Revolution's gigantic momentum, because they could not organize--as well as inspire--change, the Revolution ran a violent course without becoming an even more significant episode in the history of modern Europe than it was; after it threw off the Old Order of society, it did not sink the footings for a New Order. Carlyle saw Napoleon as coming close to creating the New Order, a Napoleon who is in selflessness, prophetic vision, and capacity to act a little like a fusion of Charles Darnay and Sidney Carton.

Carlyle's account of Napoleon in Heroes and Hero-Worship displays something of what Carlyle saw as the function of the French Revolution as well as some of what he thought the function of the hero to be. The account may help us with Carton and Darnay:

> Precisely a century and a year after this (1688) . . ., (after) Puritanism had got itself hushed-up into decent composure, and its results made smooth, (by the restoration of the English monarchy) in 1688, there broke out a far deeper explosion, much more difficult to hush-up, known to all mortals, and like to be long known, by the name of French Revolution. It is properly the third and final act of Protestanism; the explosive confused return of mankind to Reality and Fact, now that they were perishing of Semblance and Sham. Men have to return to reality; they cannot live on semblance. The French Revolution or third act, we may well call the final one; for lower than that savage Sansculottism men cannot go.
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> They stand there on the nakedest haggard Fact, undeniable in all seasons and circumstances; and may and must begin confidently to build-up from that. The French explosion, like the English one, got its King, --who had no notary parchment to show for himself. We have still to glance for a moment at Napoleon, our second modern King.
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> Napoleon does by no means seem to me so great a man as Cromwell. His enormous victories (which reached over all Europe, while Cromwell abode mainly in our little England) are but as the high stilts on which the man is seen standing; the stature of the man is not altered thereby. I find in him no such sincerity as in Cromwell; only a far inferior sort. No silent walking, through long years, with the Awful unnamable of this Universe; 'walking with God,' as he called it; and faith and strength in that alone: Napoleon lived in an age when God was no longer believed. * * *
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> Yet Napoleon had a sincerity: we are to distinguish between what is superficial and what is fundamental in insincerity. Across these outer maneuverings and quackeries of his, which were many and most blamable, let us discern withal that the man had a certain instinctive ineradicable feeling for reality; and did base himself upon fact, so long as he had any basis. He has an instinct of Nature better than his culture was. His sarans, Bourrienne tells us, in that voyage to Egypt, were one evening busily occupied arguing that there could be no God. They had proved it, to their satisfaction, by all manner of logic. Napoleon, looking up into the stars, answered, "Very ingenious, Messieurs: but who made all that?" So too in Practice: he, as every man that can be great, or have victory in this world, sees, through all entanglements, the practical heart of the matter; drives straight towards that. When the steward of his Tuileries palace was exhibiting the new

upholstery, with praises, and demonstration how glorious it was, and how cheap withal, Napoleon, making little answer, asked for a pair of scissors, slipt one of the gold tassels from a window-curtain, put it in his pocket, and walked on. Some days afterwards, he produced it at the right moment, to the horror of his upholstery functionary; it was not gold but tinsel! In Saint Helena, it is notable how he still, to his last days, insists on the practical, the real. Why walk and complain; above all, why quarrel with one another? There is no result in it; it comes to nothing that one can do. Say nothing, if one can do nothing! He speaks often so, to his poor discontented followers; he is like a piece of silent strength in the middle of their morbid querulousness there.

And accordingly was there not what we can call a faith in him, genuine so far as it went? That this new enormous Democracy asserting itself here in the French Revolution is an insuppressible Fact, which the whole world, with its old forces and institutions, cannot put down; this was a true insight of his, and took his conscience and enthusiasm along with it, --a faith. And did he not interpret the dim purport of it well? 'La carriere ouverte aux talens, the implements to him who can handle them': this actually is the truth, and even the whole truth; it includes whatever the French Revolution, or any Revolution, could mean. Napoleon, in his first period, was a true Democrat. And, yet, by the nature of him, fostered too by his military trade, he knew that Democracy, if it were a true thing at all, could not be an anarchy: the man had a heart-hatred for anarchy. On that Twentieth of June (1792), Bourienne and he sat in a coffeehouse, as the mob rolled by: Napoleon expresses the deepest contempt for persons in authority that they do not restrain this rabble. On the Tenth of August he wonders why there is not man to command these poor Swiss; they would conquer if there were. Such a faith in Democracy, yet hatred of anarchy, it is that carries Napoleon through all his great work. Through his brilliant Italian Campaigns, onwards to the Peace of Leoben, one would say, his inspiration is: 'Triumph to the French Revolution; assertion of it against these Austrian Simulacra that pretend to call it Simulacrum!' Withal, however, he feels, and has a right to feel, how necessary a strong authority is; how the Revolution cannot prosper or last without such. To bridle-in that great devouring, self-devouring French Revolution; to tame it, so that its intrinsic purpose can be made good, that it may become organic, and be able to live among other organisms and formed things, not as a wasting destruction alone: is not this still what he partly aimed at, as the true purport of his life; nay what he actually managed to do? Through Wagrams, Austerlitzes; triumph after triumph, --he triumphed so far. There was an eye to see in this

> man, a soul to dare to do. He rose naturally to be the King. All men saw that he *was* such. The common soldiers used to say on the march: 'These babbling *Avocats*, up at Paris; all talk and no work! What wonder it runs all wrong? We shall have to go and put our *Petit Corporal* there!' They went, and put him there; they and France at large. Chief-consulship, Emperorship, victory over Europe; --till the poor Lieutenant of *La Fere*, not unnaturally, might seem to himself the greatest of all men that had been in the world for some ages.

Carlyle's hero-king bridles anarchy. He, half-hero, half-prophet, half-dictator, by his own will, tames a mob and creates a new, intuitively satisfying vision of social order. He is sincere, shamless, and selfless; he is a man of action rather than words. His new vision has all of the virtues of the old order, it conserves the meaningful energy of the mob. It synthesizes a new society.

The paired figures of Sydney Carton and Charles Darnay in *A Tale of Two Cities* may be considered against the background of the Carlylean hero as figures prophetic of a New Order. Obviously neither is a Napoleon. Dickens draws his models from somewhat humble circles, partly because he is creating fictional characters. Partly Dickens may have avoided choosing the grand Napoleonic military hero as his "savior-type" because he had less taste for the military-dictator than did Carlyle. He was perhaps more taken with the quiet prophets. In any case, Darnay is mostly hero-as-prophet, and Carton is almost exclusively hero-as-prophet--if we may use Carlyle's language. Between them, they exhibit the selflessness, the prophetic wisdom, and the capacity to inspire and organize which Carlyle demanded. Carton is critical of his society, a dreamer who, at the end of the novel, envisions a heavenly city. He is both selfless and able. In another time and place, as Dickens hints, he might have been a great man of public affairs. As it is, his service to the hoped-for New Order is a small, but no less inspiring. Ruined and debauched by service to the old order in England (Stryver's materialism), he makes a heroic sacrifice that gains for Dr. Manette and the Darnay family peace and stability. This sacrifice is symbolic; it is a solution to the whole problem of reconstruction after historical oppression even as Madame Defarge is the solution to the problem of the existence of such oppression. The heavenly city that Sydney sees in his imagination just before he is beheaded is a new Jerusalem toward which he would lead the French people.

One may inquire how Dickens persuades us that Carton, a debauched animal, could do the Machievellian-altruistic act which promises to save the New Order. Carton's act unites the one *just* representative of the hatred of anarchy upon which the old order was founded, Carles Darnay, with the one really attractive representative of the intuitive freedom of the new order, Lucie Manette. How could he do it? The answer probably lies in Dickens' use of Lucie Manette. Lucie Manette is a character without a great deal of depth who yet acts as a kind of symbol of what the new order should be. She is the chief force in the lives of those whom she loves. It is the vision of her that saves Dr. Manette's sanity while he is in the Bastille; and, after he is released, it is Lucie who unworks the ravages his long prison years have made upon his mind. Charles Darnay is apparently redeemed from his past by his own determination, but Lucie adds a seeming finality to the redemption by marrying him. Sydney Carton finds in Lucie his last great hope; he can believe in her, though he can believe in little else on the face of the earth. Even Miss Pross and Mr. Lorry, who had never had a "family" in their adult years, are charmed into the Manette circle by Lucie. It is no wonder that Dickens did not give her deeper dimensions as a character. He shows her nobility by mirroring it in the lives of those whom she influences. Sydney Carton's death is a sacrifice for Lucie in more than one way. He is sacrificing himself, to be sure, so that she might live out the rest of her life with the man she most loves. But he is also sacrificing himself for what, to him and to the reader, Lucie symbolizes. She is an emblem for the force of peace and love which Sydney would have triumphant in a world of bloodshed and bitterness. At the end of Chapter 5, Book II, for example, Sydney's love for Lucie becomes a love for what she symbolizes. Sydney stood on a balcony in the early morning, sensing "waste forces within him, and a desert all around . . . and saw for a moment, lying in the wilderness before him, a mirage of honorable ambition, self-denial, and perseverance. In the fair city of this vision, there were airy galleries from which the loves and graces looked upon him, gardens in which the fruit of life hung ripening, waters of hope that sparkled in his sight." Sydney Carton's is a completely selfless man, endowed with a prophetic vision, capable of imagining a new society and of preserving those who might bring it to fruition.

Charles Darnay is Sidney's double in more ways than one. Dr. Manette and Darnay are both innocent of their past, but they cannot finally be separated from it. The sounds of footsteps as a storm breaks over London anticipates Dr. Manette's well-founded apprehensions that he cannot break with the past. It catches up finally with both Dr. Manette and Darnay though both imagine themselves free of it. They are made to be responsible for what they have tried to escape. Only Sydney Carton's noble sacrifice can save them from the senseless death implicit in the continued application of the logic of retribution after the price has been paid and the organism cleansed. His vision and sacrifice save Darnay's anti-anarchic democratic vision and ability to organize.

Dickens shows, as does Carlyle in The French Revolution, that though past sins will receive their just punishment and past shams their incendiary destruction, destruction does not always stop when justice is done. Though the logic of present retribution for past sin seems to be coming down on the house of Evremonde and Darnay, Manette's letter's evidence is only evidence against "Evremonde" and his management of his estate and underlings, not against Darnay or the ideal estate society which Darnay establishes after Evremonde's death. Darnay and Manette both represent that confederation of Democracy with Order which the Revolution needs. Such a vision is in danger of being wiped out by Manette's letter. Charles Darnay is the child of the old order (St. Evremonde) but he knows that the old order's stability is tyranny and recognizes that the organism must be reshaped if it is to survive. In his conversation with his uncle, Darnay defines his "philosophy" of freedom without anarchy as the basis of a new society and work as the basis of a new nobility (cf. The Gorgon's Head, Book II, chapter 9). Darnay's estate under Gabelle is a just society, a new society more revolutionary than that in Paris where the ownership of property carries responsibilities for the owner but no privilege.[1]

In the final chapters of the novel, Dickens re-states the theme that he has woven into the narrative. Oppression begets oppression as surely as the past gives birth to the present. "Crush humanity out of shape once more, under similar hammers, and it will twist itself into the same tortured forms. Sow the same seed of rapicious license and oppression over again, and it will surely yield the same fruit according to its kind." Darnay and Carton are the heroes who twist mankind out of its tortured form and set its eyes on a new vision.

The heroism of Sydney Carton is a strange mixture of despair, love, and courage. He has become disillusioned with life. Yet his disillusionment is also a kind of hope; he believes in a better world, a world exemplified by Lucie and Charles. He gives himself to the axe in the conviction that his death will help to create a new race and a new hope. The children of Lucie and Charles are the final justification of his death. His public duty, the obligation of the individual to his society, and private duty, the obligation of the individual to himself and to those he loves, blend in his act of sacrifice. He redeems society, redeems his friends, and redeems himself from the past. "It is a far, far better thing that I do, than I have ever done; it is a far, far better rest that I go to, than I have ever known."

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[1] The arrival of Sydney Carton at Paris and the discovery of Cly and Basard, former spies for England and the Old Regime, allow Charles to be saved. Dickens stretches the reader's credibility somewhat in doing so. It is almost too convenient that Cly and Basard should show up in Paris and that Sydney should both know and find Basard; it is equally convenient that Basard should have access to the prison and can be blackmailed into acting as Sydney's accomplice. Sydney's remarkable resemblance to Charles, the fact that Defarge is Dr. Manette's old servant, and the revelation of Madame Defarge's relation to the boy murdered by a member of Darnay's family--these coincidences, too, are scarcely credible. The major weakness of the novel is the dependence of the plot on these coincidences.

B. War and Peace

Dickens' heroes make history; Tolstoy's are made by history.

Dickens' masses are a single live organism animated by a single inner fire; Tolstoy's masses are individuals acted upon by infinitely complex physical laws.

War and Peace, whose final Russian text runs to over 1900 pages, is commonly regarded as the national epic of the Russian people. It is a work of art that expresses a people's spiritual strength, especially such strength as is manifested in their ability to endure in the face of a disaster. A good example of this view of the book put to practical use occurred in World War II. Half a million miles of Russia had been overrun by the German armies, and Leningrad was under a siege. The Soviet government brought a large number of new editions of the novel as a means of encouraging national resistance to the invaders. More than 500,000 copies were distributed in Leningrad alone. But War and Peace is not simply a national epic. It attempts to present a particular view of history, to express a comprehensive code of morality, and especially to picture Russian life at the turn of the 19th century. The "picture" is drawn in terms of the environment of Russian society, particularly the society composed of the wealthy ruling class of the nation. The weakness of the society are ruthlessly exposed. But its virtues are also revealed.

War and Peace is an historical novel because it reviews the political events between 1805 and 1814, focusing in detail on the French-Russian conflict of 1812 (As Johnny Tremain and Captain from Connecticut both concern the American revolution, so A Tale of Two Cities and War and Peace both concern the aftermath of the French Revolution). National policies are examined in terms of the man who made them; the Russian, Austrian, and French Emperors and the lesser men who supported them. The spectrum of these lesser figures runs from German strategists to diplomats to civil servants engaged in the internal administration of the state.

But War and Peace is also, in a sense, a novel that seeks to debunk the ordinary reading of history and especially Carlyle's kind of reading of it. One may observe how different is Tolstoy's view of Napoleon from Carlyle's by looking at Tolstoy's bitterly ironic account of the way in which historians write about the French Revolution and Napoleon --

> 'Louis XIV was a very proud and self-confident man. He had such and such mistresses, and such and such ministers, and they governed France badly. The heirs of Louis XIV were also weak men, and also governed France badly. They also had such and such favourites and such and such mistresses. Besides which, certain persons were at this time writing books. By the end of the eighteenth century there must have gathered in Paris two dozen or so persons who started saying that all

men were free and equal. Because of this in the whole of France people began to slaughter and drown each other. These people killed the king and a good many others. At this time there was a man of genius in France--Napoleon. He conquered everyone everywhere, i.e. killed a great many people because he was a great genius; and, for some reason, he went off to kill Africans, and killed them so well, and was so clever and cunning, that, having arrived in France, he ordered everyone to obey him, which they did. Having made himself Emperor he again went to kill masses of people in Italy, Austria and Prussia. And there too he killed a great many. Now in Russia there was the Emperor Alexander who decided to re-establish order in Europe, and therefore fought wars with Napoleon. But in the year '07 he suddenly made friends with him, and in the year '11 quarrelled with him again, and they both again began to kill a great many people. And Napoleon brought six hundred thousand men to Russia and conquered Moscow. But then he suddenly ran away from Moscow, and then the Emperor Alexander, aided by the advice of Stein and others, united Europe to raise an army against the disturber of her peace. Napoleon's allies suddenly became his enemies; and this army marched against Napoleon, who had gathered new forces. The allies conquered Napoleon, entered Paris, forced Napoleon to renounce the throne, and sent him to the island of Elba, without, however, depriving him of the title of Emperor, and showing him all respect, in spite of the fact that five years before and a year after, everyone considered him a brigand and beyond the law. Thereupon Louis XVIII, who until then had been an object of mere ridicule to both Frenchmen and the allies, began to reign. As for Napoleon, after shedding tears before the Old Guard, he gave up his throne, and went into exile. Then astute statesmen and diplomats, in particular, Talleyrand, who had managed to sit down before anyone else in the famous armchair and thereby to extend the frontiers of France, talked in Vienna, and by means of such talk made peoples happy or unhappy. Suddenly the diplomats and monarchs almost came to blows. They were almost ready to order their troops once again to kill each other; but at this moment Napoleon arrived in France with a battalion, and the French, who hated him, all immediately submitted to him. But this annoyed the allied monarchs very much and they again went to war with the French. And the genius Napoleon was defeated and taken to the island of St. Helena, having suddenly been discovered to be an outlaw. Whereupon the exile, parted from his dear ones and his beloved France, died a slow death on a rock, and bequeathed his great deeds to posterity. As for Europe, a reaction occurred there, and all the princes began to treat their peoples badly once again.'

Obviously Tolstoy's Napoleon is not Carlyle's. Tolstoy's generals do not win the battles. Their strategy is no more than a game. Tolstoy elaborated the idea that there are no real heroes, no real history makers. The more a man is assumed to have power in the world, the farther he is from the actual carrying out of the event and the less real power and effect he has.

> The higher a man's place in the social scale, the more connections he has with others, and the more power he has over them, the more conspicuous is the inevitability and predestination of every act he commits. "The hearts of kings are in the hand of God." The king is the slave of history.
>
> History--that is the unconscious life of humanity in the swarm, in the community--makes every minute of the life of kings its own, as an instrument for attaining its ends.
>
> Although in that year, 1812, Napoleon believed more than ever that to shed or not to shed the blood of his peoples depended entirely on his will (as Alexander said in his last letter to him), yet then, and more than at any time, he was in bondage to those laws which forced him, while to himself he seemed to be acting freely, to do what was bound to be his share in the common edifice of humanity, in history.
>
> The people of the west moved to the east for men to kill one another. And by the law of the coincidence of causes, thousands of petty causes backed one another up and coincided with that event to bring about that movement and that war: resentment at the non-observance of the continental system, and the Duke of Oldenburg, and the massing of troops in Prussia--a measure undertaken, as Napoleon supposed, with the object of securing armed peace--and the French Emperor's love of war, to which he had grown accustomed, in conjuction with the inclinations of his people, who were carried away by the grandiose scale of the preparations, and the expenditure on those preparations, and the necessity of recouping that expenditure. Then there was the intoxicating effect of the honours paid to the French Emperor in Dresden, and the negotiations too of the diplomatists, who were supposed by contemporaries to be guided by a genuine desire to secure peace, though they only inflamed the amour-propre of both sides; and millions upon millions of other causes, chiming in with the fated event and coincident with it.
>
> When the apple is ripe and falls--why does it fall? Is it because it is drawn by gravitation to the earth, because its stalk is withered, because it is dried by the sun, because it grows heavier, because the wind shakes it, or because the boy standing under the tree wants to eat it?

> Not one of those is the cause. All that simply makes up the conjunction of conditions under which every living, organic, elemental event takes place. And the botanist who says that the apple has fallen because the cells are decomposing, and so on, will be just as right as the boy standing under the tree who says the apple has fallen because he wanted to eat it and prayed for it to fall. The historian, who says that Napoleon went to Moscow because he wanted to, and was ruined because Alexander desired his ruin, will be just as right and as wrong as the man who says that the mountain of millions of tons, tottering and undermined, has been felled by the last stroke of the last workingman's pick-axe. In historical events great men--so called--are but the labels that serve to give a name to an event, and like labels, they have the least possible connection with the event itself.
>
> Every action of theirs, that seems to them an act of their own free will, is in an historical sense not free at all, but in bondage to the whole course of previous history, and predestined from all eternity.

The men who actually fight, the spirit of the army, determine military success and defeat. More deeply considered, infinitely complicated biological and physical laws determine an army's success. The fire Pierre sees glowing in the faces of the Russian soldiers at Borodino, Kutuzov's instinctive running that brings him to retreat before the French Army, the dissipation of Napoleon's soldiers when they reach Moscow are all exemplification of the fact that history is made far differently from the way the history books report it. The great men, as Tolstoy explains, do no more than label great historical events. The mistake of the historian is to confuse the label with the cause.

"Providence"--or physical, biological law--controls history. Behind the spirit of an army and a nation lies the force of an all-determining "fate." When he retreats from Moscow, for no apparent reason, Napoleon is certainly in the grip "Providence"; for the French Emperor cannot decide to do anything else but retreat, even though it is the worst possible course of action he could have taken. The destruction of his army as it retreats across Russia is also inevitable. The fate of the French army could not, according to Tolstoy, have been otherwise. Not chance, not the wrong decision, not even the undisciplined character of the men as a whole is finally responsible for Napoleon's tremendous defeat: Providence alone has decided. But what is Tolstoy's Providence? It is certainly not the will of God as conceived by traditional Christian thinkers or discussed in _Lazaro_ and _Don Quixote_. Tolstoy would appear to use the word "providence" to label what he thought of as exceedingly complex environmental and hereditary influences which act on man in a deterministic fashion. The laws by which this determinism operates are only partially known to man; he has the illusion of freedom--"great men" having an extraordinary measure of this illusion as they fancy themselves choosing, directing, moulding, making the events which history records. And Tolstoy, as determinist, has to reject the "great man view" of history, shaped by Carlyle and other nineteenth century historians. He would not, one suspects, have been impressed with the heroic possibilities in Carton's death or Darnay's life and vision. Since the masses are moved by environment and heredity, they cannot be moved by heroes (or by a divine fire either).

Tolstoy's "great" man is great by virtue of his recognition that historical greatness is an illusion, by virtue of his intuitive recognition of what kinds of events will be created by the influence of environment and heredity and the historical laws implicit in them. This intuitive knowledge of historical law is felt more than understood by the characters of the novel. Platon Karataev, of all the characters in the book, feels it best. He is a completely submissive man. His whole philosophy consists in giving in to whatever life brings him. Because he gives in to life, his instincts about it become extremely accurate. He instinctively knows, for example, that Napoleon will be defeated; he even knows how the defeat will take place. Russia and summer are not absolutely linked together, he remarks, and thereby forecasts the freezing winter weather that accompanies Napoleon's retreat across a desolated Russian countryside. Kutuzov is much like Karataev. He arrives at his military decisions by an instinctive consciousness of the laws of the universe. He distrusts textbook tactics; at the battle of Austerlitz, where such tactics are employed, he gloomily, and correctly, predicts defeat. His refusal to fight for Moscow and his refusal to give Napoleon a decisive battle as the French Emperor retreats from Moscow is a strategy based on instinct, rather than on what the Czar and his Petersburg court expect of him. The Czar, who attempted to direct Russian soldiers to victory at Austerlitz and destroyed his army, does not allow himself to be influenced by the tacticians when Russia is in her crisis. He trusts Kutuzov and abides by the general's decision to abandon the beloved city of Moscow. Kutuzov, like Karataev, is deeply in contact with the people and spirit of Russia. He sends men to their death reluctantly, knowing from personal experiences the full horrors of war. He worships at the icon his soldiers revere while Napoleon worships at an image of himself, a picture of his son painted as a child Christ.

Kutuzov's veneration of the icon, which is a symbol of the ancient Russian faith, is in sharp contrast to Napoleon's veneration of his child's portrait, which is no more than an emblem for the false glorification of one man's ambition, an ambition that has pitted him against the historical necessity. Napoleon's soldiers fight for a man and collapse in victory because their faith, a belief in the destiny of one man, is hollow. They are parodies of the masses who, in Carlyle's account of the French Revolution, follow such men as Marat (cf. Carlyle, The French Revolution) or of the masses who, in Carlyle's account of Napoleon in Heroes and Hero Worship, follow that leader "through wayrams, Austerlitzes; triumph after triumph." Tolstoy's Russians see a meaning in history which does not elevate the individual hero. Though Kutuzov's soldiers know nothing of "historical necessity," they are strong even in defeat because their "faith" is pure. They are empiricists. They are close to the facts. They go about "their ordinary business without feeling heroic emotions or thinking that they [are] actors upon the well-lighted stage of history, [or are] useful to their country and community." They fight and die for their own earth, for a Russian people--neighbors--whose values, traditions, and past they understand and love. After Kutuzov has driven the enemy from Russia, he sees no more reason for continuing to fight. He is not a politician; he is not concerned with the game of power that so amuses the monarchs of Europe. The Czar relieves him of command and himself leads the Russian soldiers into Central and Western Europe. The purpose of the war is no longer "keeping Russia" as historical necessity has determined that it be kept but national glory, a national glory which, in Tolstoy's opinion, has little to do with the nation itself--an empty concept, an illusion that follows from the false view of man as god, as a maker of history.

Man is not the master but the servant of historical necessity; he does not make history. Tolstoy writes about life as it really does happen rather than as it might happen. War and Peace is a "realistic" novel, not a heroic-romantic historical novel. That is, Tolstoy tries to render the real influences which affect the lives of people and form history--the sights, sounds, smells, biological impulses, etc. His "masses" are no single organism but just all kinds of people influenced by all kinds of physical law, changed the complex influences which touch him. Tolstoy's differences with Dickens' in treating the masses may be suggested by Isaiah Berlin's description of his differences with the Slavaphil school, a school which treated history somewhat as Carlyle did:

> "The Slavophil doctrine derived principally from German Idealism, in particular from Schelling's view, despite much lip-service to Hegel, and his interpreters, that true knowledge could not be obtained by the use of reason, but only by a kind of imaginative self-identification with the central principle of the universe--the soul of the world, such as artists and thinkers have in moments of divine inspiration. Some of the Slavophils identified this with the revealed truths of the orthodox religion and the mystical tradition of the Russian Church, and bequeathed it to the Russian symbolist poets and philosophers of a later generation. Tolstoy stood at the opposite pole to all this. He believed that only by patient empirical observation could any knowledge be obtained; that this knowledge is always inadequate, that simple men often know the truth better than learned men, because their observation of men and nature is less clouded by empty theories and not because they are inspired vehicles of the divine afflatus."

Prince Andrew, Pierre, and Nicholas Rostov undergo complex changes in attitude as the novel progresses. In the beginning of the narrative, they might well be taken for figures in a conventional heroic novel. Each believed his own worth as an individual depends upon remarkable exploits on the battlefield or in the drawing room. Prince Andrew and Nicholas, especially, wish to remake themselves into an idealized superman. Pierre is perhaps more philosophical, but he idolizes Prince Andrew and listens to him. Nicholas rides into battle as if he were enjoying a glorious dream; Prince Andrew attempts to rally the Russian troops at Austerlitz. Both are wounded, and the misery of their suffering shocks them into a revaluation of their lives. They no longer look upon Napoleon as the perfect man; they come to look at the world in a different way, recognizing the horror of war and grimly struggling with the necessity for it. Prince Andrew finally rejects life, choosing death, convinced beyond reason that life is inseparable from human vanity, that true freedom means to give oneself up completely to the purified existence that is beyond death. Nicholas finds his salvation in the warmth and holiness of the family life Princess Mary creates for him. Pierre, after his duel with Dolokov and his quarrel with Helene, tries to find the meaning of life in the doctrines of the Masons. But the Masonic, rational and impersonal, does not so much satisfy him as bewilders and bewitches him with its superstitions. Pierre's belief that his own fate and Napoleon's are linked together because both their names contain the same number of Russian characters leads him to attempt the assassination of the French Emperor. He is slowly restored to sanity under the influence of Karataev. He begins to accept life in the simple, cheerful way of the Russian peasant, a way which brings him an internal stability, a sense of a happiness he has never known before. He begins to sympathize with others instinctively. Natasha becomes not a "fallen woman" but a creature to be protected and loved.

Russian life, as Tolstoy describes it in war or peace, does not revolve around politics or the opposition of "two cities" any more than it revolves upon a dialogue between the masses and the heroes. Birth, death, marriage, love, youth and old age, personal friendship and personal enmity--these are the true "historical" events in Tolstoy's picture of human life. Behind and beyond politics are the grand biological "facts" controlled by natural laws, facts which are more than an abstraction or a matter for conversation. The battlefield and the diplomatic maneuver are only important because they can affect the harmony of Russian life as it is lived in the family. Here again Tolstoy is attacking the historian, particularly Carlyle's kind. The history of nations, he argues, is not the vital concern of the human being. Lasting values do not arise out of nation philosophies. The true "meaning" of human life -- if it can be said to have a meaning in a deterministic universe -- is found in the love men and women experience towards their family, neighbors, friends, and enemies. The detailed examination of Sonya and Natasha is not simply a romance element in the book: individual lives are more significant, in Tolstoy's philosophy, than army reform, for example, or the various postures that

Russian foreign policy takes. Army reform and foreign policy are no more than "theories." Human life at the intimate, the limited, the almost biological level and the simplest cultural level is alone real and meaningful.

Tolstoy does not put much stock in impersonal reform--such reform as is accomplished by the "great mass" and as lies at the center of Dickens' story of the French revolution. This does not mean that he was not deeply aware of the great injustices that the social system of Russia encouraged, but he had no faith in national political solutions for injustice, especially injustices towards the lower classes. Pierre attempts to better the conditions of the serfs on his estates; his idealism comes to very little, however, because the reform is "impersonal". Pierre knows little about the life of his workers and, in attempting to make their lot easier, actually works a great hardship on them. He is not really interested in them. His reform is a species of self-glorification fostered by his desire to think of himself as a humane and progressive thinker and he soon loses interest in the project. His stewards agree with him, admire his idealism, promise to do what they can to carry out his orders--and then run their estates in the old way. Prince Andrew is less sympathetic to the serfs, but actually far kinder to them. He oversees himself what changes he desires to make in their lives. The lesson in the contrasting treatment of the peasants by Pierre and Prince Andrew again supports one of Tolstoy's major points in the novel: what is true and lasting must be intimate and human--a compassionate response to the genius of local place and people. Dickens' picture of Charles Darnay's "reform" would not have meant much to Tolstoy; he would have regarded the picture as a liberal reformer's naive picture of how to do good. The master must rub shoulders with his peasants, as Nicholas Rostov does at the end of the story, if he is to be of any use to them.

War and Peace involves three very different types of families. Pierre is the illegitimate son of Count Begiskov and must find his own way in life. He derives only one advantage from his father, the fortune the Count leaves him. That Pierre has no father makes him particularly useful to Tolstoy, for he is cut off from all traditions and must try to find for himself the meaning of the history which he sees. The Bolkonski family is afflicted with the Voltairean philosophy of old Prince Nicholas. He raises his children according to the principles of the Enlightenment--even to the point of forcing Princess Mary to learn mathematics. Such a philosophy is inhuman, however, and its inhumanity becomes most apparent when the Prince becomes an obstacle to the happiness of both his son and daughter. The invasion of the French brings him to his senses for a short while before he dies; his last act is the rejection of the philosophy that he has held for so long. He asks his daughter for pardon and turns his thoughts toward the terrible plight of his country. The third family is the family of the generous but impractical Count Rostov. He lives as if the world belongs to him; perhaps it does, but Napoleon destroys it. He dies poor, one of his sons dead, a daughter in disgrace, and his other son far away. The tragedy of the war is powerfully illustrated by the wreckage of the Rostov family. New hope for the family is brought about by the marriages of Nicholas to Princess Mary and Natasha to Pierre. But such hope springs from the desolation war has brought. No individual in the three families is left unchanged by the war. The conditions the war forces upon each individual forces him or her to drop the deceptions that have been so convenient in time of peace. The Countess Rostov cannot abandon her furniture and lend her house for use by wounded soldiers. Those who survive are different for the suffering they have endured. Some cannot face the suffering. Helene kills herself and Anatole loses all courage when the doctors amputate his leg. Pierre (in occupied Moscow) goes mad temporarily. Some never fully recover from their wounds: the Countess, her son and husband dead, slips slowly into a twilight world of hot tea and games of Patience.

The characters in the novel are examined in depth. Tolstoy is a master psychologist that turns new facets of character to view as conditions change. Beneath Prince Nicholas Bolkonski's severity, for example, a deeply sympathetic father becomes visible when Prince Andrew goes to war, when his son's wife dies, when he himself dies on his deathbed. The kissing of the children in the conservatory, the feeling of Nicholas when he goes into battle, Princess Mary's reaction to the death of her father--these are all examples of Tolstoy's power to penetrate the souls of his own creation as he examines how environment and the laws of history determine their lives.

There is not a complicated plot to the novel precisely because Tolstoy wants the story to suggest the naturalness and shapelessness of hisotry; history provides us with no tricky well made plots. It is not contrived. Dickens uses the contrived relationships in his "plot" to symbolize, in a simplified way, the relationships between classes, periods, kinds of people as they participated in The French Revolution. Tolstoy says that such dealing with man in the mass, personifying historical forces and visions, forces one to lie about history. One can only know history by knowing the individual and unspectacular. Since Tolstoy's novel gives us no obvious sense that it is plotted, since the story line does not give us an allegory or emblem or figuring forth of the forces active in history, it has to give us something else--it gives us more direct sense that we are reliving history and not its emblem. We have a sense that we are not being offered a "poetic rendering." We are being offered something more like the diarist's entries, the primary evidence, the social scientist's observations, uncolored picture of time's stupendous movement before our camera lucida. No heroes and no divine fires: only atoms. Tolstoy is willing to expres his understanding of human life by aranging it in simple chronological order. There is some co-incidence in the story, but not much. What happens depends to a great extent on the decisions that the characters make, though their decisions are always made in the larger moral environment of "Providence" or biological and environmental law.

Tolstoy's style should be of some interest to students. The use of "we" to indicate the Russian people is extremely important for an understanding of Tolstoy's concept of the historical novel. The "we" connects the past to the present; it encloses in one identity the living, the dead, and the unborn of Russia. The story is not simply an incident selected out of former times and with believable characters. It is an examination of a condition which existed in the past and has deeply influenced the present.

If students are to understand the differences between Tolstoy and Dickens as analysts of history and the function of the hero, they must ask themselves constantly: (1) What actually do the heroes in this novel do to make great events? (2) What actually animates the lives of ordinary men acting in great events? On these two questions turn the differences both in art and in philosophy of the two books.

VII. SUGGESTED PROCEDURES

A. Johnny Tremain

1. Literature

a. If at all possible, the teaching of Johnny Tremain ought to be correlated with the study of American history, particularly the history of the American Revolution.

b. The questions in the Student Packet may be supplemented by those which appear in the core text. It might be a good idea for the teacher to point out the distinction between historical fiction (in which the main characters are fictional, placed against a more or less accurate historical background) and fictionalized biography (in which the main characters are historical figures imaginatively fleshed out).

c. Principal Characters in Johnny Tremain

Fictional Characters

(1) Johnny Tremain
(2) Rab
(3) Jonathan Lyte
(4) Lavina Lyte
(5) Dove
(6) Cilla Lapham
(7) Uncle Lorne
(8) Mrs. Bessie

Historical Characters

(1) Samuel Adams was an American Revolutionary statesman who successfully engineered the "Boston Tea Party." He served on the second Continental Congress and signed the Declaration of Independence on July 4, 1776.

(2) Paul Revere was an American patriot and skilled silversmith. He served as a lieutenant-colonel of a regiment of artillery during the Revolution.

(3) James Otis was an American Revolutionary leader and lawyer who helped to shape colonial opinion preceding the Revolution. He became insane before the Revolution and was subject to fits of aberration. While in an unbalanced condition he rushed out in the line of fire during the Battle of Bunker Hill but escaped unhurt.

(4) Dr. Joseph Warren was an American patriot and doctor who served in the early days of the Revolution as a major-general. He was shot and killed during the Battle of Bunker Hill.

(5) John Hancock was a politician and rich merchant of Revolutionary Boston who served as a general during the Revolution. He was the first signer of the Declaration of Independence and first governor of Massachusetts.

Of the minor characters in the story (minor in the sense that they played a small role in the book) the following are actual historical characters:

Rev. Samuel Cooper
William Molineaux
Admiral Montague
General Gage
Gov. Hutchinson
Joseph Quincy
Dr. Benjamin Church
Colonel Smith
Colonel Nesbit
Major Pitcairn
Billy Dawes
Mrs. Dawes
Robert Newman
Lord Earl Percy

2. Composition

a. Write a composition in which you describe how a historical novel can tell you a) what history means; b) what it is like to look for meaning in history. Use illustrations from Johnny Tremain and a history book on the Revolution. c) show how the historical novel differs from history and how it differs from other fiction.
b. In three paragraphs contrast Johnny's sense of courage, justice and sympathy at the beginning of the story with the courage, justice, and sympathy he displays at the story's end. Use examples from the story.
c. Contrast Johnny's personality with Rab's personality.
d. Write an account of the Boston Tea Party as you think it might have appeared in Uncle Lorne's paper.
e. Write an account of the Boston Tea Party as you think it might have appeared in an English newspaper.
f. Discuss in two paragraphs the differences between (a) Cilla and Isannah or (b) Dove and Johnny.
g. Prepare a dialogue based on a meeting of Whig party members in Rab's attic.
h. Pretend that you are General Gage. Enter events in you diary for several days in the Spring of 1775.
i. Compose a letter that Pumpkin might have sent to his family at home describing the opportunities in New England.

j. Write a paragraph giving your thoughts on the phrase "A man can stand up." You needn't confine your ideas to the Revolutionary War.

k. Prepare a short report on a famous person or event suggested by the reading of the book.

l. Write a letter Johnny Tremain might have written in his old age to his son. Let him tell why he became a rebel.

m. Write a letter Isannah Lapham might have written in her old age, telling about the course of her life in London. Let her decide whether she approved or disapproved of her choice to go with Lavina.

3. Extended Activities

a. Suggested Activities for Students

(1) Dramatize a favorite scene in the book. Johnny's accident, the court room scene, the sack of Lyte house in Milton by the Whigs, or the attic speech of James Otis, for example, might make good dramatizations.

(2) Draw a map of Boston, or a map of the Lexington-Concord area showing troop movements. Christopher Ward's *The War of the Revolution* might be a valuable aid for drawing the latter map.

(3) Display pictures of 18th century American houses, clothes, common utensils, etc. on the bulletin board.

(4) Arrange a debate on the Boston Tea Party. Let one student take the side of the Whigs, another the side of the Tories.

(5) If the commercial movie, *Johnny Tremain*, can be seen, encourage the students to watch it closely in order to compare it with the story in the novel. Does the movie treat Johnny Tremain as a sterotyped character? How are the British presented?

(6) Play a record of songs from the Revolutionary War or select a book of music from the period and sing some of the popular tunes of the War.

B. *Captain from Connecticut*

1. This novel might profitably be read in connection with the student's study of the Revolutionary period.

2. If the teacher decides to teach two novels to the track B students for whom *Captain from Connecticut* is suggested reading, the other historical novel for track B students, *Johnny Tremain*, can be correlated with this novel. The novels can be compared and contrasted stylistically, especially in connection with the author's handling of setting and character. Comparisons of Johnny Tremain with Captain Peabody, in respect to ideas toward war, politics, and society, may also prove fruitful. One might try to compare Peabody's effort to understand the history he experiences with Johnny Tremain's effort to discover the "meaning" of the history which he experiences.

3. The characters in Captain from Connecticut are fictional. Passing references to real persons, however, such as Commodore Rodgers and Captain Porter, are now and then made throughout the novel.

II. Composition:

1. Write a composition in which you describe Captain from Connecticut showing how it differs from history and how it differs from fiction. Use illustrations from A Captain from Connecticut and a history book on the War of 1812.
2. In a few paragraphs describe Captain Peabody's sense of courage and justice. Use examples from the novel. How does the author make concrete his assertions that peabody possesses these virtues?
3. Write a short composition in which you explain the relationship between Captain Peabody's sense of courage and justice and his belief in Providence. Are the two related?
4. Pretend you are captain of a merchant ship captured by Captain Peabody; write a letter home telling of this experience. What was your impression of Captain Peabody? Was he a gentleman? How did he show it?
5. Write a short newspaper account describing the voyages of the Delaware. You might write it for an American newspaper or a British newspaper.
6. Describe the differences you can detect between Captain Peabody and Captain Davenant as to morals, manners, dress, and competence.
7. Write an essay, pretending you are Captain Peabody, on the subject: "Why I am a Patriot." Be sure that you do not write your own ideas into the essay; try to think as the captain would think.
8. Write an imaginary dialogue that takes place between two men or two women who live in Martinique when the Delaware drops anchor in the harbor. Let each member of the conversation give his or her opinion on the good points and bad points of the American officers and men.

9. Pretend you are a seaman who has shipped aboard the Delaware. Write a letter to someone back home. Describe your activities aboard ship telling of the pleasures, dangers, and excitements you have experienced. Say a few words about your impression of the Captain.

Extended Activities

1. Draw a picture of a frigate, a sloop, a man-of-war, and a Jeffersonian gunboat. Label each part of the ship. For this project, you will have to find a book of illustrations on ships of the 18th century. The best pictures might be displayed on the bulletin boards.
2. Prepare a short report on a famous naval battle that took place during the War of 1812. Refer to a history book.
3. Draw a map of the Eastern United States and the West Indies. Show the course of the Delaware. At the place of each battle draw in crossed swords and the name of the ship with which the Delaware fought.

4. Arrange a debate on American naval policy. Let one debater argue President Jefferson's case, urging the building of gunboats, and the other debater argue the case for capital ships, urging the building of man-of-war.
5. Dramatize a scene in the book. The trial of the sailors aboard the *Delaware*, the first boarding of the *Tigress*, the reception, or the duel are all scenes which would make good dramatizations.
6. Play a record of famous naval songs; or find a book containing naval songs, especially those written in the 19th century and sing them.

A. *A Tale of Two Cities*

Suggested Procedures:

1. The students should be informed of the general time-place scheme of the novel before they begin reading it. This procedure may save them from considerable confusion. It should be emphasized that:

   (a) The novel alternates between two cities. Thus, two different sets of characters are involved. Only toward the end of the novel do all of the characters meet one another. The relationship between individuals in opposite sets of characters is slowly developed throughout the narrative.
   (b) The novel covers a considerable span of time. It begins in 1775, or shortly before, and ends in 1794.

   The student should be encouraged to be patient with Dickens; he should not feel frustrated if, at first, he cannot relate all the characters to one another. The teacher should, however, expect the students to be aware what time a particular part of the story is taking place.
2. All the characters in the book are fictional. Many of the incidents that take place in France are not, however, completely without an historical basis. The burning of the chateau for example, has a foundation in Thomas Carlyle's the *French Revolution*. As Dickens hints in the introduction to the novel, Carlyle's work on The Revolution influenced him a good deal. The materials in the student packet will help sutdents to become clear about a) the historical dimension of the novel; b) what it says about the meaning of the French revolution, about what it says about the relationship between the "hero" who understands the meaning of the Revolution and, in part, creates whatever is revolutionary in it and the masses who do not understand the tides by which they are swept.

II. Composition

1. Write a short essay in which you describe "mysterious" events leading to the American Revolution. Try to imitate Dickens' style in the first chapter of the *Tale of Two Cities*.

2. Write a short essay in which you describe how an historical novel differs from history and how it differs from fiction. Illustrate your essay by quoting the Tale of Two Cities and a history book on the French Revolution.
3. Analyze carefully Dickens' ability to describe a particular scene; the scene, for example, that begins chapter 2 in Book I. Write an analogous description. Describe a car on a muddy road, at night, for instance; try to create a "mood" or "feeling" in the description.
4. Pretend you are Lucie: write a letter to a friend, telling her of your feelings at the first meeting with your father in the St. Antoine section. Write the letter as you imagine Lucie would write it. Or pretend you are Mr. Lorry, making a report on this scene for your bank. Write the letter as he would write it.
5. Find a poem of the Romantic period which treats of the French Revolution and compare it to the Tale of Two Cities. See, especially, if the attitude toward the people and toward the aristocracy is the same in both works. A particularly good poem to use for this might be William Blake's "Europe."
6. What is the scene in Defarge's wineshop shortly after the child has been run over by the Marquis? Dickens gives no hint. Create such a scene, imitating Dickens' style as closely as possible.
7. Write an account for an English newspaper in which you discuss the stormings of the Bastille. You might include interviews with some of the people who took part in the assault.
8. Pretend you are an imprisoned aristocrat. Write an account of prison life; speculate on the reasons for your imprisonment; discuss the "justice" that the Revolutionaries are applying to your class.
9. Imagine you are a member of the Revolutionary tribunal. Describe the procedure of the tribunal and attempt to justify your actions. What is the philosophy of the Revolution? Do you believe in it?
10. Write a letter that Sydney Carton might have written to a relative or parent on the night before he died. In what sense is your act of sacrifice "a far, far better thing I do, than I have ever done . . ." Try to set down Carton's vision of what the future should be.

Extended Activities

1. Get a record of the Marseillaise and play it. Perhaps you might like to learn the words to the song as well.
2. Arrange a debate on the Revolution. Let one individual argue the case for government by the aristocracy; let his opponent defend the right of the people to govern themselves. Try to use Dickens' symbolism or his kind of symbolism to argue your case.
3. Dramatize one of the scenes in the book. The Manette family in the garden at Soho might make an excellent dramatization. The trials of Charles Darnay, the meeting of Lucie Manette and her father in St. Antoine, or the last moments in the life of Sydney Carton would also make excellent dramatizations.
4. Draw a picture of the stormings of the Bastille, the street accident in St. Antoine when the Marquis' carriage runs over the child, or any other scene in the novel that appeals to you.

B. War and Peace

Suggested Procedures:

1. War and Peace is suggested reading for track A students, and should be read in connection with the other track and novel, A Tale of Two Cities, and against the background of Dickens' vision of history and Carlyle's similar vision of it, or against the background of a very simple account of Carlyle's vision. Tolstoy is attacking the kind of vision of history and its heroes which Carlyle and Dickens set forth. The study of War and Peace and A Tale of Two Cities might well be related to the student's study of the history of the French Revolution and Napoleonic period.
2. War and Peace and A Tale of Two Cities can be profitably compared and contrasted on the basis of the treatment of history. Dickens' characters are heroic; Tolstoy is anti-heroic. Both novels acknowledge the operation of historical laws. But for Dickens these laws are independent of nationality and are destroyed by the "visionary" who breaks the old patterns of injustice and concomitant degradation. For the masses of men, aristocrat and peasant alike, injustice can only produce deeper injustice and eventual anarchy.

   For Tolstoy, the laws are absolutely tied to the environment and past events. Dickens is a reformer; Tolstoy is not. There are many other points of comparison and contrast that might help the student to gain a better understanding of both novels, and come to see the possibilities and limitations of the historical novel genre itself.

3. If there is not sufficient time to cover the War and Peace entirely, the teacher might choose to disregard some parts of the book. The middle section of the novel particularly can be abridged to suit the requirements of the teacher. Books I and II are important as an introduction to the characters. Book III, up to chapter 10, might be summarized for the students. Chapters 10-18 in Book V, all of Book VI, Book VII, Book VIII up to chapter 8, all of Book IX, and all of Book X, might also be summarized. The Battle of Borodino, the retreat from Moscow, the death of Prince Andrew, and the Epilogue should not be skipped. The teacher might summarize the chapters left out, or assign this task to selected students. If at all possible, of course, the entire book should be read since much of the effect of War and Peace is due to the panoramic, all-inclusive view of Russia that the novelist provides for his readers.

Extended Activities

1. Dramatize a particularly important scene in the book. The meeting of the generals in Kutuzov's tent, for example, might make a good dramatization. The farewell of Prince Andrew to his father and wife, Pierre's duel with Dolohov, the ball

where Natasha meets Prince Andrew, Balashev's meeting with Napoleon, and Prince Andrew's death would also make good dramatizations.

2. Arrange a debate on Tolstoy's philosophy of history: "Do heroes make history, or does history make heroes?" Let one debater take the conventional position; let the other take Tolstoy's position. Incidents from the novel should be used as evidence for either side.
3. Draw a map of Russia. Trace Napoleon's route into and out of the country. Where a battle is mentioned in War and Peace, indicate it on the map.
4. Play a record of Russian military songs that were popular in the 19th century; or play some Russian folk songs.

Composition topics:

1. Write a short account of Anna Pavolvna's reception describing Prince Vasili, Helene and Anatole, Pierre, and Prince Andrew. Suppose that you are writing the account for a close friend.
2. The death scene of Count Bezukov is left out of the novel. How would Tolstoy have written it? How would you write it?
3. Write a few paragraphs describing conditions in the Russian army camp at Brenan, where Kutuzov commands his troops in 1805. Suppose that you are writing it for newspaper readers in England or America.
4. In a short essay, compare and contrast the characters and viewpoints of Prince Andrew and his friend Bilibin.
5. Write a short account of the battle at Hollabrunn. Suppose you are a French soldier, as old as Nicholas Rostov, and that this is your first experience in battle. What are your reactions?
6. What does Prince Andrew think of Boris? Write a letter such as Prince Andrew might have written to his father in 1805, describing Boris and Boris' friend, Nicholas Rostov.
7. Write a dramatic scene of the game of cards Nicholas plays with Dolahov, after Dolohav has been refused as a suitor. Try to expose the character of each man as they tensely play their cards.
8. Condense (into a few paragraphs) the philosophy of Pierre or Prince Andrew as revealed in chapters 9 and 10 of Book V.
9. Suppose you are Natasha. Write a letter to a close friend in which you describe Prince Andrew as you saw him on the night of the ball.
10. Do you approve of marrying for social position and money? It is not, of course, the custom in our own day in our culture. Write an essay in support of your views, or in support of the opposite of your views.
11. Write an account for an English or American newspaper in which you announce the invasion of Russia by Napoleon. Describe the reaction at the Court of the Czar and discuss Napoleon's motives for the attack.
12. What did the Czar tell the nobles and merchants when he spoke to them of the war? Write a patriotic speech for the Czar which will encourage the nobles and merchants to contribute generally to the war effort.

13. What is the significance of the icon that is paraded before the Russian troops at Barodino? What is the significance of the portrait of Napoleon's son? Write an essay comparing both pictures, commenting on their relationship to one another, and explaining how they relate to the novel as a whole.
14. Why does Prince Andrew die? How does his death relate to his philosophy? Write an essay in which you discuss the connection between one event and the other.
15. Write a scene dramatizing the council of war Kutuzov holds in his tent after the battle of Borodino (See Book XI, Chapter 3).
16. In a short essay, describe Tolstoy's theory of history as you can understand it from War and Peace.
17. Write a brief analysis of Platon Karataev's philosophy.
18. Write a short essay in which you evaluate Pelya as a character. Consider his attitude toward the partisans he meets, towards his orders, and towards prisoners. How does he compare with Prince Andrew and to Nicholas Rostov when they were young soldiers?
19. Write a comparison of the characters of Dolohav and Denisov as they are presented throughout the book. Which of the two is the better man? Why?
20. Write a short essay in which you answer this question: "Was Nicholas Rostov acting justly when he broke his promise to Sonya and married Princess Mary instead of her?" Consider the circumstances when the promise was made. Consider the circumstances when it was broken.
21. Critically evaluate the change in Natasha's character after she marries Pierre. In writing on this question, you will have to examine the Epilogue closely to see how Natasha's character has changed. You might also discuss Tolstoy's view of a woman's role in life, as you find the view revealed in the Epilogue.
22. Write an interpretation of young Nicholas' dream and try to explain how the dream is related to the rest of the story.

General Composition Development

Introduction:

The following composition activities are designed to force the student to organize into a composition form "basic" historical materials. Not only may such a procedure better acquaint him with the difficulties faced by the historical novelist, but it may well encourage him to learn to formulate habitually a particular viewpoint on ambiguous social and political questions.

1. Find an issue of a newspaper or magazine that carries a report on a controversial political or social event; an article, for example, on a dispute between a Communist nation and a Capitalist nation on a debated policy (disarmament, the Berlin Wall, a revolt somewhere) would make a good basis for your composition. Write a summary, a dialogue, or an opinion of the controversy from one point of view or another. Fictionalize your composition

as much as you like. How would an ambassador, a soldier, a housewife, or an industrialist react to the event? Develop a point of view.

2. Suppose you are a speechwriter for the President of the United States or the Premier of the Soviet Union and that you are addressing Congress or the Praesidium on an important national issue (one currently in the news) as you write the speech.
3. Satirize an important event that is taking up space in the current newspapers and magazines. Use a fictional form to do so. You might, for example, write a dialogue between a parent and a child, in which the parent is attempting to explain some difficult concept (say national pride) that is tangent to the subject about which you are writing.

List for Supplementary Reading

1. Novels whose historical period is roughly the same as the historical settings of the core texts are marked by a single asterisk (*).
2. Novels marked Av. are of average difficulty; those marked Ad. are for advanced students.

Adam Bede George Eliot (New York: New American Library) Ad.
Age of Innocence Edith Wharton (Bantam Books) Ad.
All Quiet on the Western Front Enrich M. Remarque (New York: Fawcett) Av.
Beat to Quarters C. S. Forester (New York: Bantam) * Av.
Ben Hur Lew Wallace (New York: Bantam) Ad.
Bleak House Charles Dickens (New York: New American Library) Ad.
Captain Caution Kenneth Roberts (New York: Fawcett) * Av.
Captain from Castille Samuel Shellabarger (New York: Bantam) Av.
Citadel A. J. Cronin (New York: Bantam) Av.
Coningsby Benjamin Disraeli (New York: New American Library) Ad.
Night Flight Antoine de St. Exupery (New York: New American Library) Av.
Northwest Passage Kenneth Roberts (New York: Fawcett) * Av.
The Octopus Frank Norris (New York: Bantam) Ad.
One Day in the Life of Ivan Denisovich (New York: New American Library) Av.
Ox-Bow Incident Walter Von Tillberg Clark (New York: New American Library) Av.
Quentin Durward Sir Walter Scott (New York: New American Library) Ad.
Quo Vadis Henry Sienkiewicz (New York: Bantam) Ad.
Rabble in Arms Kenneth Roberts (New York: Fawcett) Ad.
Ship of the Line C. S. Forester (New York: Bantam) Av.
Two Years Before the Mast Richard Dana (New York: New American Library) Ad.
Wilderness Robert Penn Warren (New American Library) Ad.
Uncle Tom's Cabin Harriet Beecher Stowe (New York: New American Library) Av.
Darkness at Noon Arthur Koestler (New York: New American Library) Ad.
Doctor Zhivago Boris Pasternack (New York: New American Library) Ad.
Drums along the Mohawk Walter D. Edmonds (New York: Bantam) Av.
Flying Colours C. S. Forester (New York: Bantam) Av.
Hannibal Mary Dolan (New York: Avon) Av.
Henry Esmond W. M. Thackeray (New York: Bantam) Ad.
High Wind in Jamaica Richard Hughes (New York: New American Library) Av.
Hornblower and the Atropos (New York: New American Library) * Av.

Hunchback of Notre Dame   Victor Hugo   (New York: Bantam)   Ad.
The Informer   Liam O'Flaherty (New York: New American Library) Av.
Ivanhoe   Sir Walter Scott   (New York: New American Library)   Ad.
Journal of the Plague   Daniel Defoe (New York: New American Library) Ad.
Last of the Mohicans   James Fenimore Cooper (New York: New American Library) Ad.
The Leopard   Guiseppe Di Lampeduso (New York: New American Library) Ad.

A CURRICULUM FOR ENGLISH

Teacher Packet

THE EPIC HERO: BEOWULF AND THE SONG OF ROLAND

Grade 8

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Experimental Materials
Nebraska Curriculum Development Center

THE EPIC HERO:
Beowulf and The Song of Roland
Grade 8

CORE TEXTS:

Beowulf

For Track A	For Track B	For Track C
trans. Raffel. New American Library of World Literature; Inc.: New York, 1963. (Mentor Book #MP531) (60¢)	The same basic text, but with more explanation. Some students may find reading parts of the selection too difficult; the teacher should select the more accessible sections of the work.	Read or select short passages from Beowulf. Use the same text.
	Song of Roland	
Dorothy Sayers. The Song of Roland (London: Whitefriars Press Ltd., 1957). (Penguin Book—price 85¢)	Luquiens' version. Frederick Bliss Luquiens. The Song of Roland (New York: Macmillan Co., 1952). (Paperback price 95¢)	Same text as for Track B. Read or assign the important, more significant passages.

SUPPLEMENTARY TEXTS: None

OUTLINE OF UNIT:
- GENERAL INTRODUCTION
  - I. Description of Content
  - II. Objectives and Articulation
- BIBLIOGRAPHY
  - I. Beowulf
  - II. The Song of Roland
  - III. Background
- GENERAL AIDS
  - I. The heroes in the two poems
  - II. "Beowulf, Christian Hero"
  - III. "The Hero in the Song of Roland: Virtues and Vices"
  - IV. Beowulf and The Song of Roland: The Heroes and Their Battles

SUGGESTED PROCEDURES
- I. Literature: Development of the Unit
- II. Language
- III. Composition

EXTENDED ACTIVITIES
- I. Related Activities
- II. Audio-Visual Aids

GENERAL INTRODUCTION

I. Description of Content

This packet contains a statement of the objectives and articulation of the unit; a bibliography and essays which will provide the teacher with the background information essential to effective presentation of the material; suggested teaching procedures in literature, language, and composition; related activities, and a list of useful recordings.

II. Objectives and Articulation

This unit introduces the student to two medieval epics: *Beowulf* and *The Song of Roland*. Both are Christian epics, the one of eighth century Old English society, the other the product of eleventh century French society. Both concern putative historical heroes, and hence some of the techniques for reading historical fiction acquired in the mastery of the historical novel unit should be relevant here. *Beowulf* draws heavily upon Germanic material (treated from a Christian perspective), and hence the teacher should be able to bring in some concepts which the student may have learned from a study of Norse mythology. Roland portrays a set of knightly ideals, and hence the material concerning the chivalric tradition introduced in the *Journey Novel* unit should be relevant here. The teacher may feel that the material in this unit is too hard for eighth grade students; it may be that it will be for some. It should be remembered that the world of *Beowulf* is not far removed from the world of Norse myth, and this is taught rather commonly in the elementary school. The world of *Roland* is not too far removed from the world of the Arthurian tales which are often taught in the later elementary and early junior high years. Both tales' primary difficulty comes in those sections where they present obscure historical incidents or detailed catalogues of names. The teacher can cut these parts or allow the student to skim these sections (turning her glance away). *Everywhere the emphasis should be on what defines a medieval epic hero as a great man, what are the ideas symbolized by his enemies and by his victories.* By doing this, the teacher can draw on the gains made in the study of the journey novel and the historical novel units, and relate this unit to all of the students' studies on the hero. In passing, this unit allows the teacher to present some of the relationships between the Old English Language, the language of Beowulf, and Modern English, even as the Classical Myth Unit allows the teacher to present the contributions of Greek to modern English. This part of the unit will prepare students for the study of *The History of the Language* later.

The teacher will aim at encouraging the students to discover, in these long narrative poems which were originally presented orally, the characteristics of the epic hero in a great heroic adventure. The students will be led to realize the nature of the Christian epic and its importance as a primary epic to their literary heritage. It would be hoped that composition skills and proficiency might be developed through analysis and comparison.

BIBLIOGRAPHY

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II. *The Song of Roland*

Leon Gautier. *Chivalry* (London: George Routledge and Sons, Ltd., 1891).

Harold Lamb. *Charlemagne: The Legend and the Man*

Hilda Cumings Price. *The Song of Roland* (New York: Frederick Warne & Co., Ltd., 1961). (A new abridged translation in verse form at the price of $2.50).

Margaret Schlauch. *Medieval Narrative* (New York: Prentice Hall, Inc., 1928).

Richard Winston. Charlemagne: From Hammer to the Cross (Indianapolis: Bobbs-Merrill, 1954).

III. Background

Sir Isaiah Berlin. The Hedgehog and the Fox (New York: Simon and Schuster, 1953).

Thomas Carlyle. Sartor Resartus and Heroes and Hero Worship (New York: E.P. Dutton and Co., Everyman Library, 1916).

Sydney Hook. The Hero in History (New York: Humanities Press, 1950).

NOTE: Also helpful are the lecture on the epic in the 1961 English Curriculum Study and introductions in the core texts by Dorothy Sayers and Frederick Luquiens.

GENERAL AIDS

Note: This material should not be given in lecture form to the students. It may inform the teacher's study of the works here suggested and help her to clarify puzzles for the students.

I. The Heroes in the Two Poems

The students who have studied the unit, "The Noble Man in Western Culture" will have analyzed the nature of various Western heroes under the categories of courage, justice and control. Generally, Beowulf and Roland can be studied under these heads too. However, it may be useful to suggest some more particular ideas which lie behind them. From the time of the Greek epic on down, as Ernst Cassirer has shown, a primary tag which defined the epic hero was the combination of "justice and fortitude." These two defining ideals were part of the Noble Man unit; they are part of Beowulf who is described as combining justice and fortitude (indeed one scholar has regarded the portraying of justice and fortitude as the controlling artistic idea in *Beowulf*); the two ideals are part of Roland and Oliver for Roland is said to be brave and Oliver wise. These ideals are shared by Christian and pagan civilizations. However, the two poems suggest other heroic ideals which are perhaps unique to medieval civilization, for in each poem love and fellow feeling define the hero as great and pride and treachery define the evil characters. In the Christian scheme, love is the greatest good, and pride the greatest evil. The following two essays may assist the teacher in understanding the specifically medieval implications of the heroic ideal developed in each poem.

II. Beowulf, Christian Hero

by

Maurice B. McNamee, S.J.

That *Beowulf* is a Christian rather than a pagan poem is, therefore, by no means a new idea. Nor is the idea that Beowulf himself is a Christian rather than a pagan hero new. Kennedy has been emphatic on the point.

> Though Beowulf has a remote prototype in the laggard younger son of folk-tale and has been accorded a place in the succession of Geatish kings, his character has been recast and developed in the spirit of the Christian tradition. Throughout the poem divine guidance is invoked, and acknowledged, as the assisting force by which the heroic deeds of Beowulf are accomplished. After his death his fame is celebrated not only, and not most, for valor and venturous deeds, but for the gentler qualities of Christian virtue.

There is nothing new, then, in seeing Beowulf as a Christian hero; but it seems to me that the extent of his Christian spirit is seen with new clarity when his character and actions are examined in the light shed upon them by the Christian notion of magnanimity. Such a scrutiny reveals how completely Beowulf exemplifies the virtue of magnanimity as Christian writers in all ages conceived it. These writers are willing to admit, with Saint Paul, that in itself there is nothing wrong in the great man's seeking honor as long as that pursuit is limited by two things: the clear recognition and admission (1) that whatever he has that merits honor he has from God, that whatever he achieves he achieves with the providential help of God, and that, therefore, to God should go the greater honor and glory; and (2) that all the talents and powers that have made him great were given him not for himself alone but in order that he might employ them in the service of his neighbor as well as of himself. In other words, the true Christian can never make the pursuit of honor an unqualified end in life; it must always be limited by humility, or the recognition of his dependence upon God for all that he is and all that he does, and by charity, or the recognition that he is his brother's keeper and that he cannot, therefore, ignore his brother's rights and needs in the pursuit of his own personal honor and glory. The Christian notion of honor so circumscribed by the Christian virtues of humility and charity loses the excessive selfishness and egotism of the Greek ideal and becomes one of the clearest norms for distinguishing the Christian from pagan values in both literature and life. When that norm is employed to interpret Beowulf, the extent to which his character and actions were created under the new influence of the "gentler qualities of Christian virtue" becomes very much more apparent.

The first prerequisite for the magnanimous man, we recall, in any conception of him, is that he be a man of genuine heroic stature, pre-eminent in all the virtues. Even a cursory reading of Beowulf makes it clear that the Beowulf poet has striven to give his hero pre-eminence in both physical and spiritual qualities. Over and over again he is described as "the strongest of men," towering over all his followers in physical stature, and with a handgrip of thirty men. All his own brag speeches and the various flashbacks upon his past exploits reveal him as a man of almost giant strength and matchless courage. But besides his physical prowess, Beowulf is consistently represented as possessed of an innate nobility of character that wins him the instinctive respect of followers, friends, and strangers alike. When he comes to the land of the Danes, the herald declares that he has never seen a nobler man than Beowulf. "Never have I seen a mightier noble upon earth, a warrior in armour, than is one of you; that is no retainer dignified by weapons, unless his countenance, his peerless form belies him." And later, when he announces the newcomers to King Hrothgar, the herald says of Beowulf: "Assuredly the chief if doughty who has led these battle-heroes hither." As he appears at the beginning of the poem--mighty, brave, and virtuous--so he is described at the end when he goes forth fearlessly to meet the firedrake:

> Then rose the doughty champion by his shield; bold under his helmet, he went clad in his war-corslet to beneath the rocky cliffs, and trusted to his own strength--not such is the coward's way. Then he, who, excellent in virtues, had lived through many wars,--the tumult of the battles, when armies clashed together,--saw by the rampart a rocky arch whence burst a stream out from the mound; hot was the welling of the flood with deadly fire.

And in this last deadly conflict, Beowulf acquits himself as the mighty, brave, and noble hero he has been pictured to be throughout the poem.

A superficial reading of the poem might suggest that Beowulf in all his exploits was dominated by the very same motives that prompted Achilles. The very last words of the poem sung in praise of their hero by his loyal followers describe him as man "most eager for fame." And several times in the course of the poem fame as a motive of Beowulf's actions comes to the fore, either in the speeches of the hero himself or in the remarks of those who surround him.

The greeting of Hrothgar's herald, Wulfstan, is somewhat ambiguous, but, taken by itself, it might seem to have the old heroic ring: "I believe you have sought out Hrothgar, not from exile, but from prowess and from loftiness of spirit." Again in Beowulf's first brag speech to Hrothgar, we seem to be hearing nothing different from the boastful self-confidence of Achilles:

> "I have in my youth undertaken many deeds of daring. . . . My people, the noble and wise men, advised me thus, Lord Hrothgar,--that I should visit thee, because they knew the strength of my might. They had themselves looked on, when, blood-stained from battles, I returned from the fight, where I bound five, laid low a brood of giants, and slew by night sea-monsters on the waves. . . . And now I will decide the matter alone against the monster, the giant, Grendel! . . . Moreover, I have learnt that in his rashness the monster recks not of weapons. Hence,--so that Hygelac, my prince, may be glad at heart on my account, I renounce that I should bear a sword, or ample shield, or yellow buckler to the battle; but with the fiend I will close with grip of hand, and contend for our lives, foe against foe."

On the face of it, this seems to be as arrogant a boast as any that Achilles ever made. And in a like tone Beowulf later tells the gracious Queen Wealtheow that he will display his courage against the monster Grendel or die in the attempt: "I will show the courage of a hero, or in this mead-hall pass my latest day." Love of fame seems also to be the motive which even Hrothgar appeals to when he wishes the hero success in his adventure.

> "Take now and guard this best of houses, be mindful of thy fame, make known thy mighty valour, watch against the foe. Thou shalt lack nothing what thou wilt, if thou doest escape this bold adventure with thy life."

And when Beowulf has been successful in the adventure and the defeated Grendel slinks away to his lair to die, the fact is recorded in these terms: "Glory in fight was granted to Beowulf." Later, when Grendel's mother has revenged herself for the death of her son by making off with one of the Danes, Beowulf assures Hrothgar that he will seek her out and either win glory by slaying her or die a noble death in the attempt. "Each of us must expect an end of living in this world," he says, "let him who may win glory before death: for that is best at last for the departed warrior." And again when Beowulf is in mortal combat with the fierce dam of Grendel, glory in the fight seems to be his one thought. When he finds that his sword is useless, he faces the troll fearlessly, relying on the strength of his handgrip. "So must a man do when he thinks to win enduring fame in war," observes the poet, "he will have no care about his life." And not only was fame in battle an important consideration for the young Beowulf; as an old man he still seems eager to win renown by combat with the firedrake. These are the opening words of his last brag speech:

> "I ventured on many battles in my younger days; once more will I, the aged guardian of the people, seek combat and get renown, if the evil ravager will meet me outside his earthy vault."

And the poet describes Beowulf in the very midst of the deadly fray with the fire-sprouting dragon as "mindful of glorious deeds." It would seem, then, from all this that in Beowulf we have another example of the self-centered pursuit of glory that puts him in the company of Achilles. The character of Beowulf has sometimes been so interpreted.

But so to interpret him is to ignore the consistent qualifications that the Beowulf poet puts on his hero's pursuit of glory all through the poem. Those qualifications, we shall see, are the identical ones enumerated by Saint Paul in his Second Epistle to the Corinthians and by Pope Saint Gregory in his letter to Saint Augustine--the recognition of one's dependence upon God for all one's talents and the employment of those talents not merely or primarily for oneself but for one's neighbor.

Reference to one providential God Who created and governs all, and Who will eventually judge all men is persistent throughout the poem. It is to this one providential God and Lord of all that Beowulf gives all the credit for his achievements, great and small. When he and his men land in Denmark, their first act, after they have drawn their ships up on the shore, is an act of thanksgiving to God for their safe arrival. When Beowulf makes his first speech at the court of Hrothgar and assures the old king that he is ready to challenge the monster Grendel, he resigns himself to the will of God in the outcome: "He whom death carries off shall resign himself to God's judgment." As he prepares himself for the advent of the monster, he is described by the poet as trusting firmly "in his proud might, the favor of the Creator." Here the poet seems definitely to be introducing the Christian notion that whatever one has he has as a gift from the Creator. Beowulf himself explicitly recognizes the providential disposition of God in his regard when he declares that he will not use arms against Grendel, who is ignorant of the class of weapons.

> "But we two at night shall not make use of swords, if he dare seek combat without arms; and then may the wise God, the holy Lord, decree the triumph to whichever side seems meet to Him."

The poet's comment, as Beowulf and his men prepare their beds in the ill-fated hall of Heorot, again recognizes the all-pervading influence of Divine Providence upon the actions and destinies of Beowulf and his men.

> But to the people of the Geats, the Lord gave the weaved destiny of success in war,--help and support, so that they should all overcome their enemy through the power of one man, through his own strength. It is known for certain that God Almighty has always ruled over the race of men.

Later, when Beowulf himself describes his struggle with Grendel, he also acknowledges God's providential part in the outcome. He could not prevent Grendel from escaping to his lair because God did not will it. "I could not keep him from going, the Creator did not will it," are the hero's own words. But for all that, Beowulf is sure that Grendel will not escape the final judgment of God: "Thus shall the creature stained with crime wait for the Last Judgment;--how the glorious Creator will sentence him!" When, in turn, the poet is summing up Beowulf's first great exploit against Grendel, he is most explicit in having Beowulf acknowledge that all his power is from God:

> He bore in mind the power of his might, the lavish gift which God had granted him, and trusted himself to the Lord for grace, help, and support. Hence he had overcome the foe, struck down the demon of hell.

As the conflict with Grendel so also in that with Grendel's dam, Beowulf's victory is attributed to the providential help of God. Then in the struggle with the water troll "the son of Ecgtheow, the hero of the Geats, would have perished under the wide earth, had not his war-corslet, his strong coat of mail, furnished him succour, and the holy God, the all-wise Lord, brought about victory in battle. With ease, the Ruler of the heavens decided it aright." And Beowulf again is himself represented as quite aware of his dependence upon the providence of God for this second victory. "I dared the work with difficulty," he tells Hrothgar, "almost had my struggling ceased, if God had not protected me." And when he has returned home in triumph, the poet describes the hero as guarding "with the greatest human art the liberal gifts which God had granted him." The aged Beowulf is of the same mind as the young. When he has slain the dragon at the cost of his own life and won the treasure-hoard for his people, he acknowledges again that he would have been helpless against his fiery adversary if God had not helped him. These are almost his last words in the poem: "I utter in words my thanks to the Ruler of all, the King of Glory, the everlasting Lord, for the treasures which I gaze upon, in that I have been allowed to win such things for my people before my day of death!" Wiglaf, Beowulf's one faithful follower in his last combat, is equally explicit in acknowledging the providence of God in his master's behalf. "God, master of victories, granted him that single handed he might avenge himself with the sword." And the poet's own final comment is in a similar vein. The grief and faithful administrations of Wiglaf could not save Beowulf from death; "He could not keep on earth the chieftain's spirit, much though he wished it, nor alter anything ordained by the Almighty. For men of all degrees God's judgment ruled their deeds, just as it still does." Whether we consider the words of the hero himself, or the remarks of other characters in the story, or the comments of the poet, the impression is always the same: all that the hero achieves he achieves with the help and through the grace of a providential God.

But striking as is Beowulf's recognition of his dependence upon God for all that he is and does, the degree in which this Christian idea pervades the poem becomes even more apparent when we consider Horthgar's attitude toward this matter in the first two episodes. Hrothgar is an old man who has learned much from the experience of years, and there are two things that he has learned in particular: that whatever happens to man happens under the guidance of a providential God, and that a man can achieve nothing without the help of God. When he hears of Beowulf's arrival, he is confident that "the hold God has of his mercy sent him to us West-Danes . . . to meet the terror of Grendel." When he recounts to Beowulf the ravages that Grendel has made upon his followers, he also declares his confidence in God's providential help: "God can easily restrain the wild ravager from his deeds." The old king, in fact, looks upon Beowulf as the instrument of God's providence in saving the Danes from the ravager. And when Grendel has finally been done to death by the mighty grip of Beowulf, Hrothgar speaks with a true Christian instinct when he gives glory to God rather than to Beowulf himself--to the God who had given such might to man. His prayer of thanksgiving is worth citing at length because it expressed so admirably the Christian attitude toward great achievement:

> "For this sight [Grendel's arm] let thanksgiving rise at once to the Almighty! Many horrors and afflictions have I endured through Grendel: Yet God, the King of Glory, can ever work wonder on wonder. It was but not that I despaired of ever seeing a remedy for any of my troubles, since the best of houses stood stained with the blood of battle,--an all-embracing woe for every one of the counsellors, of those who despaired of ever guarding the fortress of this people from foes, from demons and evil spirits. Now, through the might of the Lord, a warrior has done a deed which up to now we all could not accomplish by our schemings. Lo! That self-same woman who bore this child among the tribes of men may say, if she still lives, that the eternal God has been gracious to her in childbearing."

Hrothgar is perfectly aware of the personal achievement of Beowulf and goes on to acknowledge it, but he first acknowledges the fact that whatever Beowulf had achieved he had achieved through the power and help of God. That granted, there is no limit to the honor he is willing to show Beowulf himself:

> "Now, Beowulf, best of men, in my heart will I love thee as a son; henceforth keep well this new kinship. Thou shall lack no earthly objects of desire of which I have control. Full oft I have assigned a recompense for less,--honour by gifts,--and to a lesser hero, a weaker in the fray. Thou hast brought to pass for thyself by thy exploits, that thy fame shall live for ever and ever. May the Almighty require thee with good, as he did but now!"

It is natural for this experienced old man to fear that the young and successful Beowulf might be tempted to forget the fact that what he had achieved he had achieved through the providential help of God. We have already seen that Beowulf had not forgotten it, but the circumstances make Hrothgar's worries natural and understandable. In this light his final exhortation to Beowulf on humility, so far from being the foreign interpolation that some scholars have made it, is completely natural and germane to the characters and instincts of both Hrothgar and Beowulf as they have been displayed throughout the poem. He begins by congratulating Beowulf on the fact that his great victories have not puffed him up with false pride: "Beowulf, my friend, thy fame is raised on high over each nation far and wide. Thou dost carry all this might of thine with calmness and discreetness of spirit." The ordinary road to pride is through power and wealth, which lead a man to rely solely on himself and forget that he is dependent upon God, who has given him all that he has. Beowulf is enjoying the heady wine of victory that his great strength has won him and is about to be enriched by the many treasures which Hrothgar has promised him. The aged Hrothgar, experienced in the ways of the human heart, is rejoiced that Beowulf's success has not gone to his head; but loving him as a son, he is anxious that he continue in his same humility of spirit. So what would be more natural, in these circumstances, than an exhortation on humility. As several scholars have pointed out, it takes the form of many a medieval sermon.

It begins with an exemplum--the story of the successful Danish warrior Heremod, who let his success develop into an arrogant and murderous spirit that destroyed many of his Danish companions and which was eventually his own undoing.

> "Although the Almighty God exalted him above all men with the joys of power and strength, and helped him on, still there grew up within his heart a savage spirit; never gave he presents to the Danes, that he might obtain glory. Joyless he lived, so that he suffered misery for his violence, the lasting pain."

And then Hrothgar proceeds to apply the exemplum directly to Beowulf. The hero of the Geats, like Heremod, has been given great might by God and has used it successfully; happily, unlike Heremod, he has not been puffed up by his victories. But the danger of pride is always there. Any man who has great power and plenty may be tempted to pride.

> "Sometimes He [God] allows the spirit of a man of famous stock to wander in delight: gives him in his native land enjoyment of this world, a fenced fortress of men to hold; makes regions of the world, a spacious empire, subject to him in such wise that in his folly he himself thinks it will never end. He lives in plenty; nothing--sickness nor old age--stands in his way. . . . All the world moves to his will. He knows no worse estate until a measure of overbearing pride waxes and grows in him, when the warder, the soul's guardian sleeps. That sleep is too sound, hedged in with cares: the slayer is very close, who from the winged bow shoots with evil intent. Then he is struck at the heart, under his armour, by the piercing arrow,--the crooked mysterious promptings of the accursed sprite. He cannot defend himself. What he had held for a long time seems to him too little. He covets, hostile in mind; never gives, in proud rejoicing, circlets overlaid with gold. No thought has he about the world to come, and he disdains the share of honours God, the Lord of Glory, gave him in time past."

Beowulf now has power and riches, and the greater power of a king still awaits him. From the wealth of his own experience the humbled Hrothgar exhorts the young victor against the follies of pride. "Incline not to arrogance, famous warrior!" Beowulf may think that he has the world at his feet. Hrothgar once thought so too. He had thought that the peace and happiness he had won for his people were to last forever; but they had been rudely shattered by the depredations of Grendel against which all his efforts had proved futile.

And what were Beowulf's reactions to this advice of the old king? He accepted it rejoicing; and, if we are to judge by the example that he set when he returned to his own country, he followed it closely. Like Hrothgar, he refused the kingship when it was offered him at the death of Hygelac; and, when in the course of events it came to him anyway, he conducted himself with such humble regard for the well-being of his subjects that they could say of him as they marched in song about his funeral mound that he was the mildest and the gentlest of men, and most kind to his people. Beowulf's success did not make him arrogant, violent, or overbearing. In his last discourse, before the venom from the dragon silences him, he consoles himself in the recollection that he "did not pick treacherous quarrels." "In all this may I, [he says] sick with deadly wounds, have solace; because the Ruler of men may never charge me with the murder of kinsfolk when my life parts from my body." And so Beowulf exemplifies to the end that virtue of humility which is the first check on the aberrated pursuit of honor.

And what about the second check, the virtue of charity? If it is possible, this permeates the action and motivation of the poem even more completely than humility. As we have seen, Beowulf was certainly not unaffected by the motive of personal honor, but it was to be won through the generous service of others. The chief motive for his actions in all three of the major episodes of the poem is the succor and welfare of others--of those who were not even his own countrymen in the first two episodes, and of his own subjects in the third episode. He knowingly risks his life in the first two episodes to save the Danes from the ravages of Grendel and his troll-mother; and in the last episode he sacrifices his very life to save his own people from the ravages of the dragon.

The poet leaves us with no possible room for doubt that charity is a prominent motive in the poem. The point is made explicit repeatedly by both Beowulf himself and by Hrothgar. When Beowulf heard about the terrible inroads of Grendel upon the subjects of Hrothgar, he "bade made ready for himself a good ship for the crossing of the waves,--said he would seek the warrior-king, the noted prince, over the swan's-road, since he was in need of men." And he was seconded in his generous impulse by all his fellow wise Geats. They "did not blame him at all for the expedition, though he was dear to them; they urged on the stout-hearted one." When he arrives at the court of the aged king, he announces that his reason for coming is the news he has received of Grendel's havoc in Heorot.

> "Grendel's doing became plainly known to me in my fatherland. Sea-farers say that this hall, this most noble building, stands empty and useless to every man after the evening sun has become hidden under the vault of heaven. Then my people, the noble and wise men, advised me this, lord Hrothgar,--that I should visit thee, because they knew the strength of my might."

Beowulf, it is clear, has come to help the Danes in their distress; and Hrothgar, in turn, recognizes that this is Beowulf's chief motive. "The holy God," he says, "has of his mercy sent him to us West-Danes, as I hope, to meet the terror of Grendel." And to the hero himself he says: "My friend Beowulf, thou hast sought us to fight in our defence and for kindly aid."

The motive of "kindly aid" comes to the fore again when Hrothgar is helpless in the face of the vengeful depredations of Grendel's mother. He admits that Beowulf alone can help his people in their distress. "Now once more is help to be had from thee alone." And Beowulf again assures the troubled king that he is ready to succor him: "Sorrow not, wiseman. Better is it for each one of us that he should avenge his friend." And with that Beowulf is off to avenge his friend Hrothgar for the loss of his counselor Aeschere--at the risk of his own life. When he plunges into the dreadful mere his thoughts are not of himself but of his followers, whom he entrusts to the care of the king should he see the end of his days in the struggle with the monster below. And when triumphant and loaded with gifts from the grateful Hrothgar, he is making his farewell speech before departing for his home country, he makes another generous offer of help, should the king be again beset by his enemies.

> If I learn this across the circuit of the sea,--that those around thy borders threaten harm, as enemies have done in times gone by, I'll bring a thousand thanes and heroes to

> thy help. As for Hygelac, lord of the Geats, I knew, though he is young, that he, his people's shepherd, will further me by word and deed, so that I may show my esteem for thee by deeds, and bring to thy rescue my shafted spear, the succor of my might, when thou hast need of men.

Hrothgar is full of admiration for the ripe wisdom and generosity of the young hero: "The wise Lord put these speeches in thy mind," he says, "never heard I a man talk more discreetly at so young an age; strong art thou in thy might and ripe in mind, wise in thy spoken words."

The sage old king goes on to prophesy that this strength, wisdom, and generosity will put Beowulf in line for a kingship in his own land, where he will become the unselfish shepherd of his people. And Beowulf does continue to show his unselfishness upon arriving home by immediately turning over all the rich treasure he had received from Hrothgar to his lord Hygelac, and the jewels he had received from Queen Wealtheow to his own Queen Hygde. Eventually, when the prophecy of Hrothgar comes true, Beowulf rules his people in peace for fifty years. Then, like Hrothgar himself, "the veteran guardian of his people" is troubled by the ravages of the fire-breathing dragon. True to form, Beowulf still shows himself to be the unselfish guardian of his people and not only risks but loses his life to free them from the disastrous visitations of the firedrake and to win for them the treasure trove which the dragon guards. When he has finally slain the monster, and sits dying from the fatal wound he himself has received, and looks upon the great hoard of treasure from the dragon's cave, he thanks God that he has been allowed to win "such things for [his] people before [his] death." These are almost his final words:

> I utter in words my thanks to the ruler of all, the King of Glory, the everlasting Lord, for the treasures which I here gaze upon, in that I have been allowed to win such things for my people before my day of death! Now that I have given my old life in barter for the hoard of treasure, do ye henceforth supply the people's needs,--I may stay here no longer.

So noteworthy has the life of Beowulf been in unselfish devotion to the needs of others in his youth and to those of his own people in his maturity and old age that he deserved the title of praise that was linked with his gentleness and mildness in his funeral hymn. "The people of the Geats . . . said that he had been of earthly kings the mildest and gentlest of men, the kindest to his people. . . ." There can be little doubt, then, that service to others was a prominent motive in all the actions of Beowulf and one of his most endearing characteristics. He was, as we are also told in his funeral dirge, "most eager for fame," but it was a fame, the whole action of the poem reveals, won in the generous and self-sacrificing service of others.

If any further evidence for the fact of Beowulf's spirit of Christian humility and charity is needed, it is provided by a comparison of his character with that of the noble Hrothgar and by a contrast with that of the less noble Unferth.

Hrothgar is pictured all through the first two episodes as a leader of great strength and courage and as a man of eminent virtue. He is represented as the entirely unselfish shepherd of his people, and hence as a king much loved and honored by them. When they are voicing their praise of Beowulf after his victory over Grendel, they are careful to make it clear that this praise is no reflection on the greatness of their own king.

> Then Beowulf's exploit was proclaimed--many said that no other man, south or north, throughout the world, anywhere on this vast earth, was more excellent among shield-bearers under the expanse of heaven, or worthier of empire. Yet did they not at all decry their friend and lord, the gracious Hrothgar; he was a good king.

To his native prowess and moral uprightness, Hrothgar had added the wisdom of age and experience, and it is chiefly in this respect that he is contrasted with the young Beowulf throughout the earlier episodes of the poem. He acts as something of a Christian conscience for the youthful Beowulf and serves as a prototype for the mature and aging Beowulf of episode three.

Part of the unity of the whole poem is achieved by this resemblance of the mature Beowulf of episode three to the Hrothgar of episodes one and two. It is a relationship of type to prototype, and it appears that the Beowulf poet wishes us so to conceive it. The virtues which Hrothgar exemplifies so well in the first two episodes are exemplified to perfection by Beowulf in very similar circumstances in episode three. And the transition between the second and third episodes is achieved through the farewell speech of Hrothgar in which he urges Beowulf to learn by his experience and matured wisdom that the way to personal happiness and to peace and security for his future subjects is the way of humility, gentleness, and kindly service. Arrogance, violence, and selfishness, he warns Beowulf, can lead only to chaos and unhappiness for himself and his people.

And the life of Beowulf, the lord and protector of his people, is the life of Hrothgar all over again, except that it is raised to a higher degree of unselfishness in the surrender of his life for his people. The poet calls our attention to this parallel by emphasizing the fact of the identical fifty years of their respective reigns and by the advent of a monster to disturb the peace of their kingdoms in the late years of their reigns. These parallel situations make us almost unconsciously compare the characters of the two noble shepherds of their people. And when we do, we find that Hrothgar is himself pre-eminent in the virtues which he enjoins upon the youthful Beowulf and which that hero has already exemplified in the previous episodes and continues to exemplify in his maturity--the virtues of humble dependence upon God and unselfish service of his neighbor.

It is stated several times in the poem that Hrothgar is an accomplished warrior. But it is not in this that his true greatness consists. The virtues emphasized in the poem and for which his followers hold him in great esteem are the same which elevate Beowulf to the level of a Christian hero--humility and charity. Hrothgar over and over again admits that in spite of the prowess and courage of himself and his followers they are helpless to rid themselves of the depredations of Grendel without the help of God. He sees in Beowulf's advent a proffer of divine help and thanks God for the success of Beowulf's venture against both Grendel and his dam. He is not ashamed to admit the superiority of Beowulf over himself and all the Danes; nor does he lose face with either the Danes of the Geats by this admission. For the true Christian the humble recognition of one's dependence upon God and the truth about oneself in relationship to others is ennobling and wins the generous respect rather than the contempt of others.

Hrothgar, moreover, is equally or perhaps even more characterized by a spirit of Christian charity. It is not without significance, in this connection, that the occasion of the ravages of Grendel was Hrothgar's construction of the mead hall, Heorot, for the shelter and entertainment of his people. The hateful monster was consumed with jealousy at the sound of the rejoicing in Heorot and determined to put an end to it by his murderous incursions, which soon emptied it of song and singers. In this Grendel himself becomes the embodiment of the jealous hate which is diametrically opposed to the spirit of hospitality and unselfishness which had brought Heorot into being. It is not accidental that Hrothgar bears the title of protector of his people. Their welfare and safety have been his chief concern throughout his reign; and the greatest grief of his life has been his inability to rid them of the depredations of Grendel. His great unselfish spirit is shown again in the generous gifts he bestows on Beowulf and his companions once the two monsters have been slain. Gift giving, of course, is one of the most common conventions of heroic sagas; but the kind of gift which Hrothgar gives reveals in a very special way the degree of his unselfishness. He gives Beowulf his own sword and horses--the two most prized possessions of any warrior.

And in contrast to the unfeeling ruthlessness of some of Achilles' actions is the spirit of human gentleness that characterizes Hrothgar. This is nowhere more evident than in his speech of gratitude after Beowulf has slain Grendel, a speech in which he addresses Beowulf with all the tenderness of a loving father toward a son. Gentleness, we recall, is a note that has a particularly Christian echo. It is a trait which makes the hero possessing it not only honored and respected but loved. It is a trait which we find not at all in Achilles and certainly not in a notable degree even in Aeneas. It is a heroic trait which only became prominent under the influence of what Chambers has called the "gentler virtues" of Christianity. The gentleness emphasized in both Hrothgar and Beowulf throughout the poem is all the more striking when we contrast it with the violence and the bloody kin-feuds that are frequently hinted at in the historical episodes and allusions, and which were far more characteristic of these Nordic peoples than the restraint and gentleness that pervade the Beowulf poem. Hrothgar's farewell advice to Beowulf to be humble, gentle, and kind toward his people carries all the more weight because his own practice has been such a good example of the virtues which he is preaching.

If Hrothgar, then, acts as a positive foil for the virtues of both the young and the mature Beowulf, Unferth certainly serves as a negative foil for them. He is in every respect inferior to Beowulf. He lacks his physical strength, his courage, and especially his moral integrity. In contrast to Hrothgar, he reacts with the typical jealousy of a small man to the obvious superiority of the Geatish hero. He tries to deflate Beowulf's reputation by reference to the Breca episode in the hero's past in which he was bested (so Unferth asserts) in a swimming contest. In contrast to the scathing wrath with which Achilles might be expected to meet such an envious thrust, Beowulf quite calmly recounts the true story which, without boastfulness, enhances his own reputation and quietly deflates Unferth's. And he also lays bare the truth of the present situation when he reminds Unferth of his own shady past as a murderer of his kin and of his present inability to cope with the destructive monster Grendel. The whole function of Unferth in the first two episodes, in fact, is to enhance the moral stature of Beowulf. Beowulf's very restraint in dealing with the unjust taunt of this jealous man disarms him and ultimately redeems him. Unferth gives him his own sword for the encounter with Grendel's dam; and, although it proves useless against the water troll, Beowulf returns it to its owner after the struggle with thanks and with no reference to its uselessness in the fight. The significance of this situation is vastly strengthened by imagining the rejoinder that Achilles might have made in a like situation. The degree of Beowulf's unselfish magnanimity on this occasion is perhaps measured by the fact that, so far from carrying any grudge against Unferth for his jealousy and discourteous taunt on his arrival, he pays him an unsolicited compliment when he departs. Here Beowulf again shows himself to be the truly Christian magnanimous man who can overlook a slight to himself because he is interested in something bigger and more ennobling than his mere personal reputation. Beowulf is here totally unlike Achilles, who was willing to sacrifice the whole Greek army to reinstate his own personal honor in the eyes of the host.

One of the chief ways in which the barbaric pagan spirit showed itself among the Nordic races in general was in the family feuds which were constantly breaking out and resulting in murderous intrigues of all kinds. The new Christian doctrine of brotherly love, therefore, had a special significance for these Nordic peoples. The Beowulf poet seems to be weaving this part of the Christian message into the movement of his whole poem. In this connection, added significance is given to the fact that the monster Grendel is the offspring of the fratricidal Cain and that the ravages of the firedrake are occasioned by the theft of a fugitive from justice. Unferth is accused by Beowulf of having murdered his kin, and there is a veiled reference to a future family feud in the household of Hrothgar that will wreck the peace which he has established. One of the great sources of comfort to Beowulf at the end of his life is that he has not been guilty of murdering his own kin. The many references to the instinct for such fratricidal feuds throughout the poem puts us in touch with a very barbaric aspect of these Nordic races, indeed; but their presence gives greater point to the refining and civilizing influence of the new Christian ideal of gentleness and charity that is so admirably exemplified in both Hrothgar and Beowulf.

Another way in which the Christian spirit shows itself in the characters of both Beowulf and Hrothgar is the role that war and prowess on the battlefield play in their careers. We hear references to many battles fought in the past in which they displayed their great prowess, but always we are given to understand that the battles were fought for the security and welfare of their peoples and not merely for the enhancement of their own personal reputations for strength and courage. In the story of Beowulf himself the poet was in a very different position from Virgil's in the matter of displaying his hero's battle prowess. Since Beowulf's antagonists were monsters explicitly identified with the powers of evil, the poet was under no necessity of glorifying the ordinary conflict in arms in which the hero is exalted by subduing a character like Hector or Turnus, who is almost as noble as, or nobler than, the conquering hero himself. In Beowulf, the emphasis is on the honor owing to the hero because of his humble dependence upon God for the might which enables him to overcome these monsters of evil, and for the unselfish generosity with which he dedicates his powers to the welfare of others. Since this was the main purpose of the poet, it is obvious why these legendary monsters as symbols of evil prove to be more appropriate adversaries for the hero than any mere historical or fictitious human adversary could ever be. These legendary creatures and the conflict against them gain their true epic dignity and proportions not from their legendary background but from what those legends are made to symbolize. When the struggle of Beowulf against Grendel, the water troll, and the dragon are seen in this light, they take on more and not less dignity than the exploits of Odysseus against such preternatural creatures as Circe and Polyphemus. They have even a broader import than the battlings of Aeneas to found a new Troy because they suggest the broader struggle of every man to found a spiritual kingdom safe from the incursions of the powers of darkness.

This discussion, then, should make apparent that the character of Beowulf is such a complete verification of the Christian notion of the heroic or the magnanimous that it would almost seem to have been created to exemplify the virtue as Saint Paul and the early church Fathers sketched it--limited by the virtues of humility and charity. One can hardly read Beowulf with a knowledge of this ideal in mind without recognizing that the author has assimilated that new ideal completely and made it a guiding principle in his creation of the two chief characters in the poem as well as in the ordering and motivation of all three of the major episodes. If you remove from the poem all that this spirit has given it, practically nothing of the body of the poem remains. Reading Beowulf in the light which the Christian notion of magnanimity throws upon it strengthens immeasurably the conclusion of Frederick Klaeber that

> the Christian elements are almost without exception so deeply ingrained in the very fabric of the poem that they cannot be explained away as the work of a reviser or later interpolator. In addition, it is instructive to note that whilst the [historical] episodes are all but free from those modern influences, the main story has been thoroughly imbued with the spirit of Christianity.

--from Honor and the Epic Hero (New York: Holt, Rinehart and Winston, Inc., 1960).

III. The Hero in the "Song of Roland": Virtues and Vices

by

D. W. Robertson, Jr.

In Roland characterization is subordinate to the thematic structure of the poem as a whole, and is rendered in simple, straightforward terms with no attempt at "rounding." The theme of the poem is the conflict between Christendom and paganism expressed in a manner designed to appeal to French piety, and to inspire the zeal of pilgrims and crusaders. For this purpose the instruments chosen are a Christian king of traditional valor and piety with an especial value for French traditions, two faithful vassals whose actions illustrate the kind of tie which should exist between such a king and his subjects, a traitor who exemplifies attitudes and actions to be avoided, and a host of pagans whose villainy is unrelieved by any of the gentler human attributes.

To begin with the traitor, Ganelon is introduced at once, before we have had an opportunity to see him in action, as "Ganelon who was a traitor (p 178)."

If the narrator were simply telling a story as a story and nothing more, this anticipation of subsequent events might be regarded as an indication of "destiny." But if we look on the poem not as a story, but as a narrative exemplification of a theme, the "anticipation" vanishes, and the line becomes simply a device to indicate the concept for which Ganelon stands. The phrase ["Ganelon who was a traitor"] is then a thematic statement to be developed in accordance with the structural materials available in the poem and we are not confronted by the difficulty of having to introduce into its structure what at the time would have been heretical determinism. The theme is consistently maintained. When Roland advises with reference to Marsilie's dubious offer of peace, "Ja mar crerez Marsilie," Ganelon echoes him with "Ja mar crerez bricun," implying an unfavorable comparison between a man who is, on the one hand, Ganelon's own stepson and Charlemagne's most distinguished warrior, and on the other hand a pagan ruler. In the context of the poem, where pagans are little more than devils, such a comparison can suggest nothing but the malice of the speaker.

Malice is a vice traditionally associated with deceit and vainglory, which are, as it were, the roots of treason. Its connotations can best be studied not in the definitions of the theologians but in the text of the fifty-first Psalm, traditionally one of those singled out for illustration by medieval illuminators:

> Why dost thou glory in malice, thou that art mighty in iniquity?
> All the day long thy tongue hath devised injustice: as a sharp
> razor, thou hast wrought deceit.
> Thou hast loved malice more than goodness: and iniquity rather
> than to speak righteousness.
> Thou hast loved all the words of ruin, O deceitful tongue.
> Therefore will God destroy thee forever: he will pluck thee out,
> and remove thee from thy dwelling place: and thy root out of
> the land of the living.
> The just shall see and fear, and shall laugh at him and say:
> Behold the man that made not God his helper.

Deceitfulness and injustice are inconsistent with love, the tie that was thought of as the bond of feudal society. A vassal was almost interchangeably a [friend]. He was bound, at least in the ideal demanded by feudal theory, by a tie of love to his feudal overlord, and that same tie also bound his lord to him. It follows that a vassal was also bound to love his fellow-vassals. If love was the basis for the fellowship of the Church, making it, as it were, "one body" under Christ, the feudal army was also bound by a similar tie, at least in theory. "For love," as John of Salisbury wrote, "is as strong as death (Cant. 8. 6), and that battle-wedge which is bound by the bond of love is not easily broken." A Christian army ranked against heathendom could have no more appropriate unifying principle. But one of Ganelon's earliest acts is to say to Roland, "I do not love you at all," and the rift which this statement implies in Charlemagne's following is soon confirmed by a formal *defiance*. Throughout the poem Ganelon is "the wicked, the traitor" and he pursues an unswerving policy of malice toward Roland. At the end, when he receives a traitor's punishment, no sympathy is wasted on him as a human being. In effect, Ganelon is not a human being, but an idea in action, a warning against the danger of personal malice in a society whose integrity depended on personal ties of affection. More generally, he is an echo of the forces represented by Judas.

Roland himself receives hardly any "characterization" in the modern sense. He is Charlemagne's most worthy vassal, and he acts and speaks accordingly. The vassal should sustain difficulties for his king, just as Joab, Abner, and others did for David; and John of Salisbury repeats the same concept, saying that the knight should shed his blood or give his life if necessary for his companions. Roland's singleminded pursuit of this ideal is what prevents him from blowing his horn at Oliver's request, not pride or rashness. "Blow your horn!" Oliver urges. When he is referring not to a feeling of personal vanity, but to an obligation to his countrymen. Roland's motivation is thus not in any sense of the word "psychological." He is the embodiment of an ideal, not a human being reacting to the stress of an emergency. "Roland is brave and Oliver is wise," the poet says, but he implies no lack of wisdom in Roland any more than he implies lack of worthiness in Oliver. He adds, "Both were marvelous vassals." There is no question of a "tragic weakness" or "human failing" in Roland. He is the type of the ideal vassal who is willing to sacrifice anything for God, for his king, and for his companions. "This principle, indeed," wrote John of Salisbury, "is to be placed first and implemented in all knighthood, that when faith has been given first to God, then the prince and the state may be served without reservation." This is the idea, the grand doctrine, which won for Roland a place among the saints in the stained glass of Chartres Cathedral. Meanwhile, he shows abundantly those qualities most obviously lacking in Ganelon. He can disagree with his closest friend, Oliver, without malice and with no lessening of the love that binds them. As a vassal should, he loves his companions, whom he envisages, as they lie fallen on the field, among the eternal flowers of Paradise. As he dies, thinking of his king and of God, the skies darken as they did on the day of the Crucifixion, and when St. Gabriel has accepted Roland's gauntlet, angels bear his soul aloft to Heaven. He is a martyr who has given his last gift of vasselage. As an "historical" figure or as a "literal" human being Roland is nothing. He moves not in our world but in a world of abstract values which, to the poet, were eternal. He stands before us like a Romanesque saint, an embodiment of an invisible reality which living human beings can reflect only imperfectly.

Above all the other characters in the poem looms the venerable figure of Charlemagne, "our great emperor." The problem stated in the opening lines--and the problem of the poem, which is no mere thriller concerning "the adventures of Roland"--is essentially his problem. Spain has been conquered and is in Christian hands, "except for Sarrogosa," and this remaining stronghold of heathendom is held by Marsilie, "who does not love God." The policy of conquest is illustrated at once in the situation at Cordoba, which has just been taken. The conquests in the poem are not just conquests; they are figurative "conversions." The emperor is thus a Christian ruler whose function is either the extirpation of pagans or their conversion. But the alternative offered to the pagans, especially if we think of them in terms of the "superior Moslem civilization" currently fashionable among historians, seems, to say the least, barbaric. To do justice to the poem, however, rather than to the pagans, it is necessary to forget history, with which it has very little to do, and to refrain from applying humanitarian concepts to characters who are not human beings. For the saracens who oppose Charlemagne are for the most part no more than personifications of evil, a fact frequently suggested by names like Abisme, Corsablix, Falsaron, Malbien, Malcuid, Malgariz, and so on, and confirmed by the description the poet makes of them. Valdabrun took Jerusalem by treason and violated the Temple of Solomon. Baligant, the leader of all heathendom, is ruler of Babylon, whose name suggests, in a Christian context, the very essence of evil. The Saracens, in other words, suffer generally from the same limitations that apply to Ganelon and Roland; they are a part of an abstract configuration, and as such they neither invite nor deserve humanitarian consideration any more than do the suffering sinners (who are more properly sins) in the stones of Romanesque churches. Charlemagne's religious policy in the poem is thus not "inhumane," whatever it may have been in history. It simply demands that evil either be modified or destroyed. Nor is the conversion of Bramimunde through reason and love rather than by force an exception to this principle. The problem at the beginning of the poem was the heathen reign of Marsilie. At the close of the poem, the Queen of Spain, now Juliane, is a Christian, not a pretended Christian, nor a Christian for convenience, but a sincere Christian. Her conversion is properly the last event described, Charlemagne's crowning achievement.

In general, the emperor displays those qualities which are associated with an ideal Christian ruler. A prince, John of Salisbury says, should bind them to him with mutual love. "I love you," Charlemagne assures his men as he leads them into battle against Balignant. His love for a Roland is made abundantly clear. A king, says Etienne de Fougeres, "ought to obey the general voice," and one of Charlemagne's most characteristic actions is to take counsel with his barons. Nor does he seek to over-rule them when it is decided that Roland should command the real guard. It is they who decide the course of action to be taken with reference to Marsilie's offer of peace. And, ultimately, they decide the fate of Ganelon. But Charlemagne is more than an ideal ruler. His great age and his close association with the Deity give him a patriarchal air. He is warned of impending calamities twice through angelic visions. At one point Gabriel intervenes directly in his battle with Baligant so that he can resume it with renewed vigor. The sun itself stands still as he pursues the remnants of Marsilie's forces. These qualities are also suggested in his appearance. He looks like a prophet or a Romanesque cathedral. His actions have an "hieratic" or "monumental" quality suited to his supra-human personality. We do not see him often, but on three subsequent occasions we find him with his head bowed stroking his white beard and weeping. Like Ganelon and Roland, the emperor is not a "psychological" entity at all; he is a moral being. The depth and fullness of his character is not the depth and fullness of a human personality, but the depth and fullness of an idea.

The structure of the poem is consistent with the demands of the theme. Rychner divides it into four parts: (1) Prelude to Ronceval, (2) Ronceval, (3) Baligant, (4) the Judgment of Ganelon. However, he points out that the structure of Roland alone among the chansons de geste approaches a dramatic unity. If we omit the Baligant episode, he maintains, the poem has a rising action, a turning point, and a falling action. For this reason he concludes that the Baligant episode in an accretion, and that the original story must have been more perfectly dramatic. This theory, which is not atypical of modern efforts to find "better stories" in the theoretical "Ur-" forms of medieval narratives, has its temptations; but like other theories of its kind it represents an effort to pursue a feature of nineteenth-century style in times and places utterly foreign to it. To make La Chanson de Roland "dramatic", it would not only be necessary to omit the Baligant episode; it would be necessary also to make human beings out of its characters and to substitute passions for the ideals which motivate them. The result might do well on television, but it would hardly be a medieval poem. We may as well accept the fact that the author of Roland was not writing "drama." The problem of the poem is not the career of Roland, but the problem of paganism and the posture of Christian society with reference to it. By "paganism", moreover, we must understand that the forces of evil in general are implied. The solution suggested stresses the necessity for pious leadership, suffering, self-sacrifice, and unwavering devotion to the cause. Above all, if the forces of justice are to survive, they must find their strength in love. These concepts are developed in feudal terms which demand kingship on the one hand and vassalage on the other. The Baligant episode, the conversion of Bramimunde, and the final suggestion that Charlemagne's vigilance must be perpetual are just as necessary to the poem as is the trial of Ganelon. Finally, a dramatic presentation requires that the audience enter into the personalities of the characters and move freely in their world. But the world of Roland, like the confined space of Romanesque sculpture or the flat surface of Romanesque illumination, is a world apart in which the personalities are only shadows of abstractions. It is not intended that the audience identify itself with these shadows, which are means of vivifying an underlying conceptual reality. It is intended that the audience perceive that reality. And it is this abstract reality that is moving in Roland rather than the passions of the characters considered as such. If we can grasp the abstractions with sympathy and understanding, we shall have no need for the satisfaction of vicarious participation in the action. What has been called "destiny" in the poem is actually the hand of Providence maintaining that harmony, symmetry, and equality which lies behind the flux of the visible world.

IV. Beowulf and The Song of Roland:
The Heroes and Their Battles

by

Paul A. Olson

Aeneas is a dutiful man. He does what Destiny wills. The cry of the private heart does not rise from him. He enjoys Dido, but he follows the injunction of the gods and goes to Sicily and to Italy; his destiny, to be great himself and found the greatness of Rome. When Aeneas fights, he, unlike Turnus, fights for a purpose written by the hand of Providence (Stoic destiny) and seen, as through Destiny's eyes, in the Elysian fields. War in the poem is war for the founding of Rome, for the creation of Roman law, order, and peace. It is a war for civilization. The Aeneid is a civic poem; it tells how cities are built and how they fall. The poet is interested in reminding the Romans that their greatness was willed by a Destiny larger than Rome and brought to being by human suffering, courage, and intelligence, not by the pursuit of pleasure or of power apart from right.

The Beowulf poem moves in another dimension; it has something of the 'otherness' of the Biblical world. The Destiny which controls the Virgilian world is a fixed and knowable pattern; the deity in Beowulf is a creator wholly other, more the Holy of Holies of the Old Testament. The physical monsters in the poem are monsters of evil, the kin of Cain deformed by their lust, brutality, and cupidity. The battles here are more moral battles than physical ones. We have a sense that Beowulf struggles not against flesh and blood, as does Aeneas, but against "Principalities, powers, the world rulers of this darkness, the spiritual hosts of wickedness." Aeneas, even as an exile and wanderer, is surrounded with splendor which looks forward to the splendor of Rome; he knows a kind of pride in how own arm. In the Beowulf poem, this is reversed. The gold and the splendor are the possessions of the dragon, the ancient evil enemy (Revelations XX: 1): Beowulf feels in his strength, a strength given him from above; his sword, the sword of God. Beowulf is a poem about greatness of spirit first, civic greatness second. Beowulf's virtue is humility, not duty; Beowulf's enemies are not the cities which stand in the way of Rome but inner and outer barbarism, evil itself. And this is, I think,what we would expect in a poem created by a still young Christian civilization and a civilization in which one could not look to law and the state to provide one with a sense of security and civilization, but in which one had to look to other, inner supports.

The greatness conceived by the *Song of Roland* is like the greatness conceived by *Beowulf*, and, yet, it is different. First of all, we have a revival of the vision of Virgil, the vision of the empire, the emperor, and of a peace preserved by imperial act. But Charlemagne is very different from Aeneas. He is a kind of hieratic king: both priest and king, the source of both moral and political order. The characters in the *Song of Roland* are flat as the characters on a Romanesque cathedral wall; they do not possess even the "monumental" and formal roundness of characters in the *Aeneid*. Charlemagne is simply *the just ruler*. Roland is brave; Oliver is wise. "Who touches these characters touches not the depth and richness of men but the depth and richness and fullness of an idea" (Robertson). The ideals of fortitude and wisdom shine through many previous epic heroes, most notably *Beowulf*, but, in the *Song of Roland*, the ideal does not just shine through the characters; they *are* the ideal. Roland, the brave, fights bravely and, when bravery fails in battle, blows his horn so bravely as to break his head. Oliver, the wise, fights wisely, counsels wisely, and dies so.

The *Song of Roland* is a poem about feudal love. Achilles dramatizes his difference from other men; Aeneas his pity for them; they do not love. But, in the *Song of Roland*, the basic social ties are ties of love, and this is as it should be in a Christian medieval poem. Oliver and Roland end in love; Oliver, blind-eyed in death, strikes Roland on the helmet, and in perhaps the most moving speeches in the poem, (stanza 149) Roland and Oliver exchange their charity and forgiveness:

> Then Roland, stricken, lifts his eyes to his face,
> Asking him low and mildly as he may:
> "Look, I am Roland, that loved you all my days;
> You never sent me challenge or battle gage."
> Quoth Oliver: "I cannot see you plain;
> I know your voice; may God see you and save.
> And I have struck you; pardon it me, I pray."
> Roland replies: "I have taken no scathe;
> I pardon you, myself and in God's name."
> Then each to other bows courteous in his place.
> With such great love is their parting made
>
> —from Sayers' translation

Next Oliver dies. In a broader sense, the poem is about the conflict between a society bound by a "Christian" law of love and a Saracen society, pagan in that it does not love. When Ganelon determines to become a traitor, he tells

Roland: "I do not love you at all." He destroys the basic feudal tie and becomes, in terms of the poem, a Saracen long before he completes the formal betrayal negotiations with the Saracens. The Song of Roland sees both civic and moral disaster and disorder as beginning in just such a personal failure to love, such a personal betrayal. Personal conflict (Roland and Ganelon) becomes civic conflict (France and Moslem Spain) and then imperial conflict (Empire versus Emir). And at every level, the conflict is basically a moral one; the Saracens are not historical men; they are hosts of evil, flat personifications of a mode of evil. At their death, we do not feel that blood has been spilt. In their conquest, we feel that an idea has conquered, the idea of a Christian society.

Suggested Procedures:

I. Literature

A. The student packet mainly consists of material labeled "Introductory" and "Prefatory." The Introductory Materials are designed to aid the student in developing an understanding of the nature and the characteristics of the medieval epic hero. The homiletic materials are not included for homiletical purposes; they are included because they formulate in the most accessible form the medieval world view and moral bias that lead to the creation of the heroes about whom the students will read. The students will need help with these materials and perhaps lots of it, but a thorough treatment of these materials will facilitate the students' reading and enrich their comprehension of the poems. The study of these materials - or similar materials if the teacher has access to them - is necessary because the two poems in this unit assume a cultural matrix and employ a scheme of emblems that are foreign not only to eighth grade students but to modern readers in general.

The approach to the epic hero should remain inductive throughout the unit, for if the students are spoonfed, they will not be forced to think about the attitudes that inform the medieval epic.

The introductory materials might be supplemented with a review of the sixth grade units about Norse mythology and Arthurian legend.

The student packet also includes the legend or key with which students can solve some of the more significant iconographic or emblematic puzzles in Beowulf. These materials should be examined and treated as rigorously as the Introductory Materials. However, they should be assigned together with the relevant parts of the poem.

The two mock epics in the student packet will aid in defining the medieval epic hero by way of contrast and distortion. These two stories probably should not be read until the students have carefully read, studied, and discussed the Introductory Materials and perhaps even one of the poems.

There are no prefatory materials for The Song of Roland. However, it would be well to review with the students the materials concerning knighthood and the episode about Sir Gawain that are to be found in the Journey Novel Hero unit.

B. To help the students define the issues in these two poems, it may be helpful if they were asked to make a little chart of this kind in their notebooks and to fill it in as they read. This is a chart for Beowulf.

Strengths of Beowulf which permit him to triumph in battle	Strengths of his enemies	Weaknesses which defeat them
(1) first battle	(1) Grendel	(1)
(2) second battle	(2) Grendel's mother	(2)
(3) third battle	(3) the dragon	(3)

Here is a sample chart for the Song of Roland:

First Conflict: Roland and Ganelon:

1. Characteristics of Roland as a knight:

2. Characteristics of Ganelon as a knight:

Second Conflict: the fight between the French army and the army of the Spanish Moors:

1. Characteristics of the French heroes in battle:

2. Characteristics of the Spanish warriors in battle:

Third Conflict: the fight between the Emperor Charlemagne and the Emir of Babylon:

1. Characteristics of the Emperor as leader of the Christian forces:

2. Characteristics of the Emir as the leader of the "evil" forces:

II. Language

A. The Culture of the Old English People, and the Language of Beowulf

In the true sense of the word English literature can scarcely be said to have existed as such until the time of Chaucer, for the unity of a literature consists in the persistence and use of a language which is fairly intelligible, and in the continuity of written works which have been handed down from one generation to another. These conditions were not entirely fulfilled until Chaucer's day, but he, too, had his literary ancestors.

In the first half of the fifth century A.D., after the conversion of the Celts to Christianity by the Romans, the Angles, Saxons, and Jutes came to England. These heathen invaders worshiped Woden, Thor, and other gods of the Norsemen. With these invasions came the stories of the Anglo-Saxons, and we call their language and literature Old English. By this time Christian monasteries had been established, and since the monks were responsible for the preservation of literature, and since they detested the old pagan religion, it was natural that they would transcribe a Christian element in the old pagan stories, such as Beowulf. Pooley remarks:

> Through the literature of the Anglo-Saxons we gain insight into their character. They placed high value upon personal liberty; they planted the seeds of representative government in their village, town, anf folk moots, where people met to talk things over; and they possessed a deep sense of the responsibility of leadership. They loved adventure, fought hard, and scorned danger. The richness of the treasures buried with their women reveals both their fine craftsmanship and their high regard for womanhood. Under the greatest king, Alfred the Great (849-901), they became interested in education, codified their laws, and began the first historical record of England, the _Anglo-Saxon Chronicle_ (p. 17).

Perhaps the best insight into the life of these people is through the poem itself, and the most basic element of the poem is its language. The limitations of the language become in many ways the limitations of the poem, and conversely, the strengths of the poem are frequently linguistic strengths. The Germanic language of the Anglo-Saxons, in which _Beowulf_ is written, is characterized by strong stress and consonantal predominance, and these are the factors upon which the poem's alliterative metre is based. The lines are composed of a variable number of syllables, and one or two of these syllables in the first half of the line, and the first stressed syllable in the second half are alliterated--that is, they begin with the same consonant or group of consonants (sc, st, sp, _etc_.). Occasionally it is vowels rather than consonants which alliterate, lending the line an effectively gentle vowel sound in contrast with the usual harsher consonants.

Old English poetical diction is highly influenced (perhaps more than by any other single factor) by the ease with which Old English compound words are formed. Usually the original sense of each element of the compound remains clearly visible, and the effect of this subtle joining of ideas is forcefully poetic, even in ordinary Old English prose. Thus, Lic-sang (corpse-song) is a dirge; Lic-tum (the town or dwelling of corpses) is a cemetery. This facility of compounding, though a part of the general language, provided Old English poets with fertile poetic resources. These compounds are much more than a cumbersome and violent yolking of words to provide terminology for which there was no simpler alternative. It is rather a device which can emphasize particular qualities in the subject, provide particular sound effects, or smooth the alliterative verse. Thus it is not simply circumlocution to call a warrior a "corslet-warrior" (byrn-wiga), a "spear-carrior" (gur-berend) or a "sword-hero" (sweord-freca). This sort of compounding is rather the poetic substance of this epic and the language as a whole.

At first glance, Old English appears to be an entirely foreign language, but under closer examination many of the ways in which it is a direct ancestor of modern English become obvious.

Old English spelling conventions are a simple problem to overcome, and every line of *Beowulf* reveals numerous words with modern cognates. The sounds of the language, although somewhat more like Modern German than Modern English, are not without some obvious relationships to Modern English. In matters of morphology and syntax, however, old English is not only highly complex, but, to speakers of Modern English, very foreign.

A detailed analysis of these aspects of the language in connection with this unit does not seem to be justified by the space that would be necessary for it, and in any case might well be more confusing than enlightening. It does seem worthwhile, however, to make students aware, in a general way, of the ways the language is different from their own, and the changes that it has undergone between the time of the *Beowulf* manuscripts and their own time.

The first two questions are designed to allow the students to discover that except in a few cases, the foreign appearance of the poem (the ms version especially) is a matter of spelling convention.

Question 3 indicates the way pronunciation changes affect spelling changes--Old English spelling was phonetic, but as spellings began to be standardized (especially with the advent of printing in the fifteenth century, spelling conventions were preserved which were no longer phonetic representations of the spoken language.

It is with Question four that students will begin isolating the real difficulties of Old English, and the remaining questions point up the fact that Old English was a *synthetic* language, while modern English is an analytic language; that is, in Old English, the grammatical relationship of sentence elements is shown by the forms of the elements themselves (inflections and word forms) not by their relative positions (syntax). Students will probably also notice a distinct lack of function words. Question five begins to explain the basic relationships in an Old English sentence. The inflection and the determiner indicate the function of *the earth* in this question. Not only is the -*an* the accusitive inflections, but *tha* (a) is the feminine accusitive definite article. In the second version, -*e* is the nominative inflection, and *seo* is the nominative feminine definite article. (Another point of information which is not indicated in the exercises but which must be added to clarify this usage: Old English Gender was grammatical not logical--that is, every noun was assigned masculine, feminine, or neuter gender with little regard to its actual sex or lack of it, but as a grammatical convenience. Thus, *earth* is feminine and demands the feminine definite article forms.)

Question six continues to emphasize the same point: the genitive relationship is also always expressed inflectionally, and not with the function word of, as is possible in MnE.

7. This question asks the students to make for themselves general statements which indicate the fact that OE is a synthetic and MnE an analytic language, and that the change from one to the other is a general tendency toward simplification and standardization of forms. Thus, as the complicated inflectional system began to break down, it was inevitable that word order become stablized in order to carry out the functions formerly performed by inflections.

B. The Influence of French on English Vocabulary

In 1066, William I and his Norman French forces conquered England. The conqueror displaced in large part the English ruling classes and French consequently became the official language. Although the lower classes continued to speak English, French words began to be borrowed into English at a fantastic rate. One scholar estimates that something like ten thousand French words were brought into English during the Middle English period.

The ancestors of the conquering Normans were Scandanavians who had settled in the Northern part of France, the region still known as Normandy. The dialect spoken by the Normans differed somewhat from the dialects spoken in central France and from the Paris dialect, the source of Modern French.

Roughly a century after the Conquest, French words began to appear in written English. As one might expect those words which appeared earlier were concerned with government, eg castle, countess, court. The greatest effect of the French language, however, occurred during the time of Chaucer and Gower when poets and scholars used French literature and transferred French vocabulary into English. For instance, one student of English speculates that more than ten per cent of the words in Chaucer's poetry have a French origin.

As the materials in the student packet reveal, often an Old English word and its French equivalent have both been retained so that we now have pairs of near-synonyms with connotative differences in meaning (e.g., deed:act; stead:place; work:labor). Another tendency has been to specialize the words so that the French word and the Old English word have separate meanings (e.g. terrain:earth; annual:year).

One of the most significant influences of the French language has been on English spelling. Many of the bilingual English writers perhaps considered French a more civilized language than English and therefore adopted some French spelling conventions into English. For instance the Old English <cw> became <que> as in OE cwene ME queen, and OE cwellan ME quell. The French spelling for /u/ was <ou> , and was transferred to Old English words such as hus which became house, and fundon which became found. The adoption of French spelling conventions also accounts for the representation of the vowels in nun and won by two different graphemes. The English inconsistently applied the French convention of using o to represent /u/ in proximity to u, n, m, i to English. Note: The exercises in the student packet which concern the history of the language are not intended to be exact, precise, and exhaustive. They are included as a means of suggesting to students the great changes that have occurred in the English language and some of the reasons for those changes. A more comprehensive treatment of Old English, and French relationships with English, will be found in the History of the Language unit for this grade level. If the students have or will study that unit, the teacher may wish to treat these language materials lightly, but if the History of the Language unit has not or will not be taught, it is highly recommended that considerable attention be given to these sections of this unit.

III. Composition suggestions:

A. The proposed composition exercises have as their aim to provide students with topics for writing that come out of their studies of these two poems. The teacher may wish to revise the suggestions or provide ones which he himself has constructed, but in any case, the composition exercises should be directly related to the materials studied in this unit. Moreover, the topics should derive from class discussions and be carefully introduced so that the student is not confronted with a problem entirely foreign to his literary experience.

B. Beowulf

1. Write an essay in which you explain the role of the monsters in this poem. These monsters are unbelievable. Why does the author think up such creatures?

2. In a short essay, explain why Unferth is included in this poem. What does he represent? How and why does he change? How does he contrast with Beowulf?

3. In a short essay, consider the wine hall which Hrothgar builds. Why does he build it? What does it represent? How does it relate to Grendel's coming? Is it a kind of tower of Babel?

4. Discuss the significance of the treasure guarded by the dragon. Why is it buried with Beowulf? Does this pile of gold represent anything more than wealth?

5. Explain the role of Hrothgar in this poem. How is he related to the development of Beowulf's character? Center your discussion on his sermon to Beowulf.

6. Write an essay in which you show why the stories of Sigmund and of Heremod are included in the poem.

7. Discuss Beowulf's concern with fame and glory. Define as carefully as you can the kind of fame he strives for.

8. Write a short essay in which you discuss the use of light and darkness in this poem. Pay particular attention to the scenes immediately after Grendel's mother and the dragon have been killed.

9. Discuss the activity and events after Beowulf's death. Why does the poem not end with his death? Consider the consequences of his death.

C. The Song of Roland

1. Examine the virtues of Charlemagne as a king. Compare him with Marislion with the intention of describing the ideal medieval Christian king.

2. Defend the judgment against Ganelon. Explain why treachery, from the medieval man's point of view, was a capital crime.

3. What is Oliver doing in this poem? Why does the author create him? Does he detract from Roland's heroism?

4. If you read the Sayer's translation, explain the significance of the battle with Baligant. If the poem is about Roland, why is this part of the poem included?

5. Who or what is the hero of this poem? If you decide on somebody other than Roland, explain Roland's relationship to him or it.

6. Why does the poet continually tell the reader in advance what is going to happen? Doesn't his doing so ruin the story?

7. Discuss Roland's apparent pride. Focus on his refusal to blow his horn. Is he proud? or does he just appear proud? If the latter alternative is correct explain why he refused to wind his horn.

8. Explain the significance of Charlemagne's dreams. Why does he have those dreams? What do these dreams teach Charlemagne?

9. The main characters in this story are often said to weep and to faint. Are they sentimental fools? When do they weep and faint? Why do they? Is it unbecoming to an epic hero to weep?

10. Write an essay in which you define the medieval epic hero by using Beowulf and Roland as examples of this hero. What virtues does he have? How is he related to his society? What kinds of action do you expect of him?

Extended Activities: Audio-Visual Aids.

The following records are available through the NCTE:

Beowulf	One 10" 78 rpm record. Harry M. Ayres reads selections in Old English with clear explanation $1.75 (1.25) Stock number RS 80-2

Printed copies of the explanations and the text read (in an interlinear translation) are available for class use. Thirty copies in a packet $1.25 (Stock no. P56-10)

Beowulf and Chaucer One 12" 33 1/3 rpm record. Exceptionally good selection of excerpts. Beowulf (including fight with Grendel and Banquet scene) read by Helge Kokeritz; Chaucer read by John C. Pope, S.C. $4.95 (4.75)

Early English Poetry (FW) One 12" 33 1/3 rpm record. Caedmon's Hymn and excerpts from Seafarer, Beowulf, Sir Gawain and the Green Knight, and others. Read in Old and Middle English by Charles Dunn. Text, translation, introduction and notes included. S.C. $5.95 ($4.25) Stock no. FL 9851

The following records were listed in SCHWANN LONG PLAYING RECORD CATALOG, July, 1962.

Beowulf--Chaucer 10" Lex 5505

Chanson de Roland--Montrel "Proscenium Studio" 2-folk, 9587.

A CURRICULUM FOR ENGLISH

Teacher Packet

THE HERITAGE OF THE FRONTIER

Grade 8

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Experimental Materials
Nebraska Curriculum Development Center

THE HERITAGE OF THE FRONTIER
Grade 8

CORE TEXTS:

The teacher should select one of the following:

John Steinbeck. The Red Pony (Bantam Books, Inc., 19). (40¢)

Mark Twain. Roughing It (New York: Holt, Rinehart and Winston, 19). (95¢)

Carl Sandburg. Prairie Town Boy (New York: Harcourt Brace and Company, 19). ($2.25)

Hamlin Garland. A Son of the Middle Border (Macmillan, 19). ($2.25)

Francis Parkman. The Oregon Trail (Signet, 19). (50¢)

SUPPLEMENTARY TEXTS: a list of poems, short stories, essays, and plays which may be used with this unit appears below. They may be effectively used either to introduce the unit or to exemplify or dramatize elements mentioned in the readings. Should the core book chosen have examples of peculiar geographical dialects, one should refer to the unit on dialects for further teaching suggestions.

Appropriate collections of verse include the following:

Howard McKinley Corning. Mountain in the Sky (Portland, Oregon: Binfords & Mort, 1930). ($2.00)

James Daugherty. The Wild Wild West (New York: David McKay & Co., 1948). ($3.00)

Julia Davis. No Other White Men (New York: E. P. Dutton & Company, 1937). ($3.75)

Carl Sandburg. The American Songbag (New York: Harcourt Brace & Co., 1927). ($5.95)

Ross Santee. Rusty, A Cowboy of the Old West (New York: Charles Scribners Sons, 1950). ($3.50)

Katherine Shippen. The Great Heritage (New York: Viking Press, 1947). ($4.00)

Appropriate short stories which are frequently anthologized include the following:

Sherwood Anderson. "I'm A Fool," "Unlighted Lamps," "Mother," "What Makes A Boy Afraid," "Sophistication," "I Want to Know Why," "The Strength of God and the Teacher"

Willa Cather. "The Sculptor's Funeral," and "A Wagner Matinee"

Theodore Dreiser. "The Lost Phoebe" and "The Second Choice"

Edward Eggleston. "A Struggle for the Mastery" and "Spelling Down the Master"

Edna Ferber. "April 25th, As Usual" and "The Gay Old Dog"

Dorothy Fisher. "Portrait of a Philosopher"

Zona Gale. "White Bread," "In the Lobby," "The Biography of Blade," "Annie Laurie," "The Cobweb"

Hamlin Garland. "Among the Corn Rows," "The Return of a Private," "Drifting Crane"

Brett Harte. "The Outcasts of Poker Flat"

Susan Glaspell. "A Jury of Her Peers"

Ring Lardner. "Katie Wins a Home," "I Can't Breathe," "Champion," "The Golden Honeymoon"

Wallace Stegner. "The Bugle Song"

Ruth Suckow. "The Little Girl from Town," "Golden Wedding," "The Man of the Family," "Uprooted"

Booth Tarkington. "Penrod's Busy Day," "Little Gentleman," "The Big, Fat Lummox," "The $100 Bill," "Thea Zell"

Steward White. "Billy's Tenderfoot"

William White. "The King of Boyville"

Frances Wood. "Turkey Red"

Appropriate dramatizations include the following:

Susan Glaspell. "A Jury of Her Peers," entitled Trifles, as a dramatization.

John Steinbeck. "The Leader of the People," dramatized by Luella E. McMahon from The Red Pony.

OUTLINE:

GENERAL INTRODUCTION

I. Description of Content
II. Objectives
III. Articulation

BIBLIOGRAPHY

I. General Background
II. Literary Application

GENERAL AIDS

- I. The Red Pony
- II. Roughing It
- III. Prairie-Town Boy
- IV. A Son of the Middle Border
- V. The Oregon Trail

SUGGESTED PROCEDURES

- I. Literature
  - A. General
  - B. The Core Texts
- II. Language
- III. Composition

EXTENDED ACTIVITIES

GENERAL INTRODUCTION

I. Description of Content

This packet contains statements of the objectives and articulation of the unit; a brief bibliography for the teacher; a biographical sketch of the author of each of the suggested core texts and an introduction to each of these works; suggested teaching procedures for literature, language, and composition (including procedures for alternative core texts); and brief suggestions for extended activities.

II. Objectives

The migrations of men have been a subject of literature ever since the first barbarous tribes swarmed over the Eurasian continent. This literature, although often more legendary than factual, has yet preserved for us the ways of the peoples of the past, how they lived, their values, their religions, and their language. It is a small portion of this literature which is studied in this unit, for the study of this unit is a study of the American frontier as it is revealed in good writing.

To present this material one must define the frontier. The settings of the core texts of the unit, however, range from Illinois to California; the settings of the supplementary texts range from the Atlantic Ocean to the moon. What definition of the frontier will encompass this background? It is partially the intention of this unit to answer that question. In point of fact there is no geographical frontier in the United States, or anywhere in the world. Thus the answer which the unit attempts to suggest is not one of place. Rather it suggests that the frontier is a process, a process whereby bold men are challenged to explore primitive nature, meet that challenge, and are then replaced by the settlers, the civilizers, and the organizers.

The unit also explores the nature of the people who seek new frontiers. What motivates them to leave the security of the known for the insecurity of the unknown? What traits mark the people who migrate, who explore, who colonize? How does man respond to seemingly overwhelming conflicts with the elements of Nature, with other cultures, and with his own weaknesses?

The literature of the frontier through which these questions are explored are relatively late and sophisticated examples from frontier literature. They are not folklore, not myth or legend; they are rather descriptions of the frontier by men who were there or who have carefully and imaginatively reconstructed the conditions of the frontier. Through these works the unit attempts to reach the objectives of teaching a) the nature of the frontier, b) the forms it took in the American West, and c) the richness of the content of literature.

III. Articulation

This unit is related to the other eighth-grade literature units through its treatment of the material from which the works considered during the year were created. It is connected in the same manner with the ninth and twelfth grade units on the epic, the tenth-grade unit on nature, and some of the material in the eleventh-grade study of three themes in American civilization. It is closely related to the American Indian section of the seventh-grade "Myth" unit and "The Stories of the American West" unit, and the tenth-grade work on nature. Should the core text chosen contain geographical dialect, the unit would become related to the ninth-grade work on dialect, to which the teacher is referred for teaching suggestions on this topic.

BIBLIOGRAPHY

I. General Background

(Books which are devoted to the study of the frontier itself)

Ray Allen Billington Westward Expansion: A History of the American Frontier (New York: MacMillan Co., 1949).

Louis B. Wright Culture on the Moving Frontier (Indianapolis: University of Indiana Press, 1955).

II. Literary Application

(Books which describe or analyze the appearance, use and significance of the frontier in American literature.)

Lucy L. Hazard The Frontier in American Literature (New York: Crowell Co., 1927).

R. W. B. Lewis The American Adam (Chicago: University of Chicago Press, 1955).

Ralph L. Rusk The Literature of the Middle Western Frontier (New York: Columbia University Press, 1925).

Henry Nash Smith The Virgin Land: The American West as Symbol and Myth (Cambridge, Mass.: Harvard University Press, 1950).

GENERAL AIDS

I. John Steinbeck, The Red Pony

A. Biographical Sketch

John Ernst Steinbeck was born in Salinas, California, in 1902. From 1919 to 1925 he attended Stanford University intermittently, never taking a degree. In 1926 he went to New York where he worked at odd jobs while trying unsuccessfully to sell his short stories. The Red Pony first attracted the attention of the public, but it was not until he published Tortilla Flat and Of Mice and Men that he attained wide acclaim.

His most controversial novel was Grapes of Wrath written following a trip from Oklahoma to California with some migratory workers. This "socially conscious" work brought him the Pulitzer Prize in 1940.

B. Introduction

The Red Pony describes a family who lived on a ranch in California; in it we come to know Carl Tiflin, his wife Ruth, their son Jody, and Billy Buck, the hired hand, and briefly but importantly, Grandfather. The book is much more than a simple story of family life, for it relates the harshness of experience that molds the character of a young boy in the demanding context of a ranch in earlier times. The poignant but brutal incident of the death of the Red Pony and the unnatural birth of a colt, the characterizations of the heavy-handed father, the strong, sympathetic mother, and the "bandy-legged" hired man--so typical of a certain era and way of life--all contribute to the shaping of the young boy.

The most significant part of the book, however, is the appearance of the grandfather, who can talk only of crossing the great plains in the old days. Only Jody, whose obsession to explore the unmarked mountains reflects his share of the spirit of "westering," appreciates the oft repeated stories of his grandfather. While the scenes in which the grandfather appears speak eloquently of the passing of an age, they also reflect the persistence of the challenge of new frontiers in Jody.

II. Mark Twain, Roughing It

A. Biographical Sketch

It is impossible to condense an adequate account of Mark Twain (Samuel Langhorne Clemens), into a few short paragraphs, for he was many men in one, humorous, compassionate, and derisive, whimsical, tragic, and bitter. Even in his autobiography he never completely reveals himself; he consistently distinguishes between the "opinion published and the opinion one kept to himself." One thing seems certain, his creativeness was rooted in his boyhood days in Hannibal, Missouri, along the banks of the Mississippi River. His memories of his boyhood show a nostalgia for the freedom, irresponsibility, and security he found in the small mid-western town of the 1840's; but students of Mark Twain feel that Hannibal, paradoxically, embodied elements of anxiety, violence, super-natural horrors, and an enveloping dread for the young boy.

Samuel Clemens knew poverty, and he feared it. When his father died Samuel was twelve years old. Mrs. Clemens, whose compassionate goodness Mark Twain extolled in a sketch, "This Was My Mother," had five children, three of whom were older than Samuel. One of his older brothers was appointed Secretary to the Governor of the Nevada Territory in the early 1860's and offered Samuel the "position" of secretary to the Secretary.

When his career as a cub pilot was ended by the coming of the Civil War, the prospect of roughing it on the western frontier was an inviting one. It was in this way that Samuel Clemens started a journey that led him not only to Nevada, but also to California, the Hawaiian Islands, England, Europe, and all over the world. For this reason the book, Roughing It, is a good selection for young readers to start their enjoyment of Mark Twain.

It was not until 1867, when Twain was thirty-two years old, that his first story, "The Jumping Frog of Calaveras County" was published by a New York literary journal. The story had been unceremoniously turned down by a New York publisher who had occasion to regret his decision and openly admitted it twenty-one years later when he met Mark Twain at a banquet and said: "I am substantially an obscure person, but I have a couple of such colossal distinctions to my credit that I am entitled to immortality--to wit: I refused a book of yours and for this I stand without competitor as the prize ass of the nineteenth century."

Roughing It was the third work Twain published; from that time on, difficulty with publishers plagued the author and embittered him, for he was deprived of his fair share of profit by unscrupulous publishers who had professed friendship and a concern for his interests. Finally he bought a publishing company. Its subsequent failure and other unfortunate business ventures placed him in straitened financial circumstances, and for several years he engaged in strenuous lecture tours to get out of debt. Disillusionment left a mark of tragedy and bitterness upon Mark Twain which colored his personal life and his writing during his later years.

Despite these personal disappointments, Mark Twain has given readers in America and abroad a tremendous amount of enjoyment. The characters and incidents in many of his stories are known to people in a large portion of the world, and his books have the unique quality of being almost universal in their appeal to readers of all ages.

B. Introduction

Roughing It is not a novel; it is, rather, an autobiographical narrative which is basically true, if somewhat wrenched in the telling. While it is candidly personal, it is not in the least introspective; Twain does not overtly show himself, he only obliquely reveals himself through his unique style of personal commentary. These commentaries not only contain much of the humor of the book, they also exemplify the almost unique style of Twain. The student will learn to appreciate the style once his attention is called to it, for it clearly reflects not only the essence of the frontier life, but also the humorous, derisive, and penetrating observations of one who experienced that life.

In his preface, Mark Twain wrote:

> This book is a record of several years of variegated vagabonding, and its object is rather to help the reader while away an hour than afflict him with metaphysics or goad him with science. Still there is information in the volume; information concerning an interesting episode in the history of the Far West, about which no books have been written by persons who were on the ground in person and saw the happenings of the time with their own eyes.

Mark Twain both experienced that life with his own eyes and succeeded in showing it to us; expecially vivid is the rise of the silver-mining fever in Nevada Territory, and the disillusionment which followed.

The whole work, Books I and II, divides readily into three phases of "vagabonding." The first part deals with the stage coach journey from St. Louis to Carson City and the author's experiences in Carson City as silver mining reached its peak. The second phase takes Twain to Virginia City as a reporter-editor of the Enterprise and then to San Francisco. The third phase carries him to Hawaii and back. Since the book relates more of Mark Twain's travels than is central to this unit, the teacher may shorten the core reading by leaving out some of the anecdotal chapters and the third phase of his travels. One may wish to omit, for example, Chapters 15 and 16 in Book I, the Mormon episodes. Should one wish to make the reading still shorter, he might omit not only Book I, Chapters 15 and 16, but also Book II, Chapters 7, 8, 9, 10, 12, 18, and 22 through 36. If these chapters are omitted, the teacher should explain the content of the omissions to maintain the continuity of the narrative.

III. Carl Sandburg, Prairie-Town Boy

A. Biographical Sketch

Carl Sandburg was born of Swedish immigrant parents in Galesburg, Illinois, in 1878. His father, a blacksmith with a railroad construction gang, could neither read nor write the English language and the Sandburg children learned the Swedish language before they learned English. At thirteen, Carl quit school to take a milk wagon route. Later he worked as a barber shop porter, brickyard laborer, and he served as a soldier in the Spanish-American War. He worked his way through and graduated from Lombard College at Galesburg, and became a traveling salesman. In 1904, one of his former professors at Lombard arranged for Sandburg's pamphlet, *In Reckless Ecstasy*, to be published. This unsuccessful venture led him into journalism in Milwaukee. He married Lillian Steichen there in 1908 and four years later they moved to Chicago where Sandburg worked for the *Chicago Daily News*.

When *Poetry* made its appearance, Carl Sandburg was a frequent contributor. In 1916 his first successful collection of poetry, *Chicago Poems*, was published. This was followed by a number of volumes of poetry which established his reputation as a poet.

He also became nationally famous as a singer of ballads. He collected ballads and folk songs as he traveled about the country; these he represented in various lecture appearances across the country. His collection consisted of the songs of hobos, cowboys, laborers and of the spirituals of the Negro. These songs eventually were published in *The American Songbag* (1927) and the collection won the admiration of the general public as well as of scholars.

By 1926 *The Prairie Years* presented the reading public with another facet of Sandburg's literary interests--history. This volume, with the succeeding work, *The War Years* (1940), established Sandburg's reputation as a Lincoln scholar. He was awarded the Pulitzer Prize in 1940 for *The War Years*.

Sandburg has used these lines from Kipling to explain his purpose as a writer. "I will be the word of the people. Mine will be the bleeding mouth from which the gag is snatched. I will say everything."

B. Introduction

Prairie-Town Boy sketches Carl Sandburg's life from his humble origin as the child of a Swedish immigrant family in Galesburg, Illinois, through his matriculation as a young man in Lombard College. Sandburg touches on a number of his childhood impressions concerning religion, education, politics and youthful employment. He shows a reverence for his Swedish background.

In *Prairie-Town Boy* Sandburg records the sights, sounds and smells of early American life in a small midwestern town. He tells what it was like to grow up in a patriarchal household where money was scarce, and each family member was obligated to assume a fair share of responsibility. The interest in learning which seemed to take possession of Hamlin Garlin as a middle-border lad, seems to work in much the same way with Carl Sandburg. He relates in *Prairie-Town Boy* his early interest in books and his keen desire for a college education.

In much the same way that Hamlin Garland presents the story of the farmer on the frontier, Carl Sandburg presents the case for the early town dweller; the two writers together serve to show an interesting contrast in early American country and town life.

The Sandburgs and their neighbors in Galesburg, Illinois, are representative of the many immigrant families who settled in prairie towns throughout the middle west in the late eighteen-hundreds. Thrifty, intensely proud to be Americans, these people exemplify the spirit of those who chose to make America their adopted home. With the same zeal that drove the pioneer farmer, breaking virgin sod and cultivating the land to feed a nation, the prairie-town settler faced hardships--dawn-to-dusk working days with meager pay--balancing his contributions to a growing America with those of the farmer. Sharing the same dream that drove the frontiersman westward, the prairie-town settlers' ambitions played their part in making a free, prosperous America a reality.

IV. Hamlin Garland, *A Son of the Middle Border*

A. Biographical Sketch

Hamlin Garland was born in a pioneer log cabin near West Salem, Wisconsin. His father, Richard Hayes Garland, had moved westward from New England. His mother was a McClintock and of Scotch-Irish ancestry. Garland reported that the Garlands provided his literary inspiration while from the McClintocks he inherited a love of music and his "Celtic temperament."

As a small child Hamlin moved with his family to Iowa where they spent a dozen years on a "Middle Border" farm. In 1881 young Garland graduated from Cedar Valley Seminary in Osage, Iowa. Following this the Garlands established a new home on a claim near Ordway, South Dakota. Hamlin established a claim of his own in 1883 in MacPherson County, North Dakota. This was sold the following year for two hundred dollars. With the money Hamlin financed his venture to Boston to prepare himself as an instructor in American literature.

Hamlin Garland lived in Boston for nine years. While there he wrote *Main-Travelled Roads*, a collection of short stories, and *A Spoil of Office*, his first novel.

By 1893, Garland's mother was an invalid. He decided to rescue her from their bleak South Dakota Home and established a family home in his native West Salem valley, which he did while maintaining his literary study in Chicago.

Garland married Zulime Taft in 1895, and they established their home in Chicago. The young Garlands had two daughters. In 1915 they moved to New York City where Garland's novel, *A Son of the Middle Border*, was published and received the Pulitzer Prize for Literature in 1922.

In 1930 the Garlands moved to Laughlin Park, Los Angeles, California, where Garland, in semi-retirement, continued to write until his death.

B. Introduction

The history of frontier America was not made by the well-polished, conservative tenderfoot. To understand the frontier is to recognize it as the time and place of the strong man--powerful, self-sufficient and restless. The frontiersman was a rebellious protestant--often illiterate, uncouth and coarse of dress and manner. Yet, the frontiersman's dream became the reality that is America.

In Dick Garland one sees this hardy frontiersman. Never discouraged for long by failures, always ready to move farther westward to start afresh, Dick Garland portrays for the reader the true essence of the pioneer spirit. One cannot read A Son of the Middle Border and come away without a deep sense of appreciation and understanding for those who first broke the prairie sod.

Garland captures something of the courage, strength, and heroism which the frontier demanded of its people. Portions of A Son of The Middle Border present a slice of frontier Americana. As a realist Hamlin Garland succeeds in recording the actual speech and mannerisms of his characters. He captures the moments of light-heartedness which the pioneer experienced when nature and times were kind, but he also records the depressing and tragic times. His personal experiences with the hardships of frontier life equipped him well to serve as an accurate reporter of this exciting epoch in American history.

V. Francis Parkman, The Oregon Trail

A. Biographical Sketch

Francis Parkman was born in Boston in 1823. He was a sensitive and restless child, who exhibited an enthusiasm for learning. For a time his interests were varied, and it was not until literature became his chief concern that his curiosity about America, past and present, began to assert itself. A journey or two into the backwoods whetted his appetite for the frontier and the conflicting stories of the Indians made him determined to study them for himself. He read every available book on the subject and, having satisfied himself with background reading, he went to visit the Indians in their villages, not as an observer living apart but rather as one of them.

He was never strong physically, and the exercise and outdoor living, supposed by some to make one healthy, seemed only to aggravate and make worse his condition. In spite of his illness, from which he was never entirely free, he lived to be seventy.

B. Introduction

The title of The Oregon Trail is misleading. The book is not a story of a trail and it has almost nothing to do with Oregon. It is rather a description of the strange and courageous experiences of its author, Francis Parkman.

Parkman, inspired by a zeal to learn at first-hand the ways of the American Indians, went directly to their villages and lived as they lived. This book is a record of what he experienced. He saw neither an elevated race of noble savages nor a degraded, superstitious race of brutes. He saw rather a people with the loves, hates, and quarrels of men. He ate as they ate, smoked their bark and tobacco, and slept in their lodges. In this account of the Indians, he neither dwells unnecessarily on their cruelties, nor becomes sentimental about their virtues. Their wanton killing of the buffalo, for example, he neither excused nor condoned; indeed, his treatment of this is representative of the entire book, for throughout he states the facts, clearly and simply, and leaves the judgments to the reader. His descriptions of the country are simple and vivid, although his most effective descriptions are of the personalities of his white companions and of the Indians whose lives touched his most closely.

SUGGESTED PROCEDURES

I. Literature

A. General

The relationship of the literature studied in this unit to that studied in the preceding units of the eighth grade materials is based on similarity of content, and dissimilarity of form. The subject matter, the frontier, has implicit relationships with the making of heroes, the journey novels, the historical novels, and the epic. The particular focus of the unit and the particular works suggested as core texts, however, do not develop these implicit relationships. Rather, the unit presents a contrast with the preceding units, focusing more intensely on the raw materials from which the literary genre previously studied are made.

The teacher who wishes to develop this contrasting relationship of the books in this unit and the books of earlier units might well lead the student to focus on comparisons between these and earlier books. The student might be asked to perceive the changes which would be necessary in one of these works to make it fit the earlier genre. How do they differ in treatment, in selection of detail and episode, and in qualities of the characters presented?

1. The teacher with an abundance of both zeal and time who wishes to experiment or to relate this unit more directly to those previously studied might consider using one of the following as a core text:

James Fenimore Cooper. The Prairie (Holt, Rinehart & Winston, 19). (95¢)
Willa Cather. My Antonia (Houghton Mifflin, 19). ($5.00)
Mari Sandoz. Old Jules (Hastings House, Publishers, Inc., 19). ($4.50)
Owen Wister. The Virginian (Pocket Books, Inc., 19). (35¢)

The zeal and time are required because the background materials for the teacher, the reading and discussion questions for the students, and composition topics have not been composed for these texts.

The teacher who wishes to develop the unit as a contrast to the preceding units, as a study of the raw materials of the hero, of the picaresque, and historical novels, and of the epic, may find the following suggestions helpful.

2. This unit should be built around the reading of a single book-length work, the core text. From evaluation included in this packet (See SUGGESTED PROCEDURES, B., "The Core Texts.") the teacher should select the text best suited to the interests and reading ability of the class. Most of the reading of this text should be done in class. Should the student need to read the core book out of class, however, the study questions in the student packet will serve to guide his reading.

3. The class might be prepared for the study of the frontier by the following exercises:

   1. Ask each pupil to find out as much as he can about the migration of his own family.
   2. Ask each student to write a composition explaining the migration of his family.
   3. Through class discussion attempt to get the student to establish the relationship of the process of the exploration, colonization, and westward expansion of America to himself.
   4. In the student packet, General Study Questions and General Composition Topics will be found. The teacher should go carefully over these with the students before they begin reading, for these questions attempt to suggest to the student what ideas and details are important, what kinds of things the students should look for in their reading.

4. In addition to the core book reading in class, each student should read at least one additional book from the supplementary reading list which appears at the end of the Student Packet. For this supplementary reading, the following procedure is suggested:

   (a) Divide the class into four groups: let Group 1 choose books for outside reading from the titles listed in the first section of the supplementary reading list, that entitled "World Exploration"; Group 2, titles from the second section, "Colonization"; Group 3, books classified as "Pioneering in the Western United States," the third section; and Group 4 from the last section, books listed under "Space Exploration."

(b) Guide the student in his choice of outside reading by considering his abilities and the level of difficulty presented by the book. Very easy books are marked by a single asterisk, books of average difficulty by two asterisks, challenging books by three asterisks.

(c) Discussion: after the core reading is completed and the outside reading assignments finished, ask each group to present a round table or panel discussion in which the members consider the book read in relation to the general study questions, the objectives of the unit, and the works which they have previously studied this year.

(d) One may ask all students to submit a book review. A sample outline from which the students could write a short, acceptable review is included near the end of the Student Packet, By giving extra credit for additional reading one should encourage able readers to read books from all four categories.

B. The Core Texts

1. The Red Pony

This book is probably the easiest of the suggested core texts for the students to read, and perhaps to teach. Yet it has certain disadvantages. One must, for example, explain the necessity of the profanity in a realistic work; the brutality of the scene of the birth of Nelly's colt may need a bit of softening for some pupils. And while the book offers the advantage of fictional rather than autobiographical presentation, it does not present the raw material of the frontier with the same immediacy as some of the other suggested core texts. Certainly if the reading ability of the class as a whole is average or above, one might better use this only as a supplementary text.

2. Roughing It

This book should be readily appreciated by readers of less than average ability or by average readers, yet the subtlety of the humor and the complexity of some of the descriptions will reward the intelligent perception of the better readers as well. While it offers an eyewitness account of life on the frontier, the account is admittedly more faithful at times to the spirit than to the body of the frontier. Yet this text is especially useful not only in learning about the frontier but also in reflecting the kind of limitations imposed by the autobiographical mode: the "I" of the book cannot achieve heroic proportions, even in the tall tales.

3. Prairie-Town Boy

This book should be easily adaptable to classes of average reading ability, although poorer readers will find it slightly advanced. It has the disadvantages of being another first person narrative,, autobiographical in conception, and, more seriously, of treating a relatively late stage in the process of the development of the frontier; of the core texts, this one is probably the least closely related both in form and in content to the previous units of study for the eighth grade.

4. A Son of the Middle Border

While portions of this novel book are not centrally con-concerned with the frontier, the book is especially good in terms of the unit because it succeeds in suggesting something of the impact of the traditions and culture of the east on a sensitive and intelligent western mind. While even average readers may struggle with parts of the book, it should be appropriate for a class composed principally of average or above average readers.

The teacher might well summarize Chapters XXVI through XXIX and present them to the class orally. These chapters present Garland's experiences in Boston as a student of literature, a lecturer in American literature, and an instructor in literature in the School of Oratory. The teacher might choose to read aloud these chapters to the class, stopping to explain and give background as it is needed for pupil understanding.

If pupils are capable of and expected to read these chapters, the teacher must prepare them in advance to comprehend the literary terms, realism and romanticism. Nathaniel Hawthorne, the reader will discover, had great appeal for the young Hamlin, who explained:

> Our school library at that time was pitifully small and ludicrously prescriptive, but its shelves held a few of the fine old classics, Scott, Dickens and Thackeray--the kind of books which can always be had in sets at very low prices--and in nosing about among these I fell, one day, upon two small red volumes called Mosses from an Old Manse. Of course I had read of the author, for these books were listed in My History of American Literature, but I had never, up to this moment, dared to open one of them. I was a discoverer.
>
> I turned a page or two, and instantly my mental horizon widened. When I had finished the Artist of the Beautiful, the great Puritan romancer had laid his spell upon me everlastingly (A Son of the Middle Border, Chapter XVIII).

Later, the realists were to have far more influence on Hamlin Garland as a writer:

> The most vital literary man in all America at this time was William Dean Howells who was in the full tide of his powers. . . . All through the early eighties, reading Boston was divided into two parts, -- those who liked Howells and those who fought him, and the most fiercely debated question at the clubs was whether his heroines were true to life or whether they were caricatures. . . .
>
> As for me, having begun my literary career (as the reader may recall) by assaulting this leader of the realistic school I had ended, naturally, by becoming his public advocate (Chapter XXIX).

The students will need to know something of both Hawthorne and Howells and authors such as Walt Whitman, Stephen Crane, Edwin Markham, Joaquin Miller and Jack London, who are mentioned frequently in this section. Comparisons of Garland's work with one or two of the writers mentioned might prove interesting and fruitful as a class project.

5. The Oregon Trail

This book presents the most formidable reading problem among the core texts and perhaps should not be chosen unless the class is above average in reading ability. Yet this text offers rewards as well as insights; it offers principally an objective, factual, and detailed picture of a primitive phase of the frontier; it offers finally, in the form and treatment given the subject matter, a marked contrast to earlier books studied this year.

II. Language

Language materials are contained in the Student Packet under "General Composition Assignments, Writing the Composition." If the core text chosen contains dialect, teaching procedures for this topic may be found in the ninth-grade unit, "Dialect."

III. Composition

In addition to the suggestions under "I. Literature" which are directly related to particular selections, a number of general and particular topics are given in the Student Packet. The teacher may wish to choose assignments from among them. It is recommended that emphasis be placed on the qualities mentioned under "General Composition Assignments" in the Student Packet.

EXTENDED ACTIVITIES

Records of frontier ballads or films of Indian or frontier life are helpful if they are available. A dramatization (see Supplementary List for suggestions) selected by the teacher or written by the students would make an excellent conclusion for this unit.

A CURRICULUM FOR ENGLISH

Teacher Packet

SYNTAX

Grade 8

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Experimental Materials
Nebraska Curriculum Development Center

CORE TEXTS: No core text. All the essential materials for the unit are included in this packet.

SUPPLEMENTARY TEXTS: Those teachers preferring to use a text book might consider Neil Postman, Harold Morine, and Greta Morine, Discovering Your Language (New York: Holt, Rinehart and Winston, Inc., 1963). This book, making use of the inductive method of teaching grammar, is particularly aimed at the junior high school student. Parts Two, Three, and Four correspond to the materials covered in the seventh grade unit, "Form Classes," Parts Five and Six could be used with advantage in this unit. Part One could be used with the ninth grade unit on "The History of the Language."

OUTLINE:

General Introduction
Bibliography
Suggested Procedures
- I. Introduction
- II. Review of Form Classes
- III. Grammaticality
- IV. Kernel Sentences
- V. Basic Sentence Patterns
- VI. Subject and Predicate
- VII. Prepositional Phrases
- VIII. Transformations
- IX. Headwords
- X. Subordination
- XI. Verbals
- XII. Compounding
- XIII. Immediate Constituents
- XIV. Summary Activities

GENERAL INTRODUCTION:

The language units of the junior high school curriculum attempt to deal in a systematic way with phenomena of the English language that English speakers already know in an unsystematic way. It is especially important that these units be treated with an inductive approach, that the student be permitted to observe his language and make his conclusions about how it operates. Students across the whole spectrum of intelligence are able and eager to follow this approach to language. They can make their observations about their language quickly and generally retain the descriptions of language they have made for an impressive length of time.

The observations that these units lead the student to make are observations based upon the most recent findings of linguistic scholarship in the effort of that discipline to describe the characteristics and the operations of the English language as it is used by English speaking people. The units make no attempt to prescribe "rules" or shibboleths in order to restrict or restrain the language explorations of students. They deal with a description of English--its systems of sounds, graphemic representation of sounds (writing), its grammatical structure, its lexicon, its history, its variety and flexibility. The "grammar" units center around the major grammatical devices of modern English, most notably the meaningful forms which words assume and the word order patterns which English utterances assume.

This unit on "Syntax" is particularly concerned with investigating and describing the common syntactical, or word order, patterns of English sentences.

In the study of language it is important that the teacher distinguish between two types of objectives: content objectives and skills objectives. Generally, the content objectives relate to a knowledge of the "structural" and "hortatory" qualities of the English language. The attainment of skills objectives implies an ability to make use of knowledge outside the field of the knowledge itself. For instance, one objective in semantics is that the student know the definitions of the terms "connotation" and "denotation"; but another objective is that he be able to recognize the connotations and denotations of actual words. Correspondingly, in the area of syntax, a knowledge of basic sentence patterns is a content objective, but the ability to bring variety to writing through the variation, expansion, contraction, etc., of sentence patterns is a skills objective. While knowledge of content may be evaluated by simple recitation of facts, skills content may be evaluated only as the student is able to introduce a variety of syntactic structures into his writing or recognize and analyze various aspects of meaning. If the student is to attain attitudes toward language which will allow him to be master of the verbal symbol, the teacher must remember that his attitude must maintain the impartiality and objectivity of scientific description. This attitude can be carried into classroom instruction if the student is given the opportunity to make his own observations about the nature of the language. We must remember that language is an exciting phenomenon about which our knowledge is still incomplete--but it is a tool, not a demon. The skills objectives for this unit will appear and be applied theoretically in nearly all the student's language activities--especially in the composition and literature activities yet to face him, just as the knowledge of language "content" has come to him through all his language experiences. The specific content objectives of this unit are (1) to review the form classes, (2) to become familiar with ten basic sentence patterns, and (3) to increase versatility in written expressions by means of use of subordinate clauses, relative clauses, prepositional phrases, verbals, and compounded structures.

This unit is so closely related to other units on language in the junior high school curriculum that all the units together should be considered as a single body of instruction. This means that the teacher of this unit should study and be familiar with the materials included in the other units. The materials of this unit are most closely related to the seventh grade unit on "Form Classes," but they are also closely related to the seventh grade units "The Dictionary" and "Spelling," the eighth grade unit on "Word Choice and Semantics," and the ninth grade units "The History of the Language," "Dialects," and "Phonology." These relationships are so close that we repeat: the teacher of this unit should be familiar with the whole body of junior high materials on language. NOTE: The teacher should especially reread the materials in the "General Aids" section of the "Form Classes" unit; there is a good deal of information there directly applicable to and eminently useful for the teaching of this unit.

The teacher too should be aware that the student comes to the rather formalized study of language in this unit with an overwhelming background of language experience and with a rather carefully conducted exposure to language matters in the K-6 units of the curriculum. These junior high units tend to formulate and analyze concepts that have already been considered rather informally in previous units. Throughout the K-6 levels, language is taught by exhibiting rather than describing, by example rather than by prescription or descriptive analysis. The attention of students is directed toward the sound of the language through their study of phonics and through various simple devices which exhibit the intonation patterns of the language; the simplest implications of phonology for spelling and punctuation are given some attention. Since students "know" much English morphology simply because English is their tongue, almost no attention is given morphology at the elementary level and no attention whatsoever is given to trying to teach children hairsplitting "do's" and "don't's" concerning their use of the forms of words. Students will, however, have had some study of morphology in the work with word roots, prefixes, and suffixes which accompanies their reading work. In the area of syntax, students will have worked with various exercises which indicate to them the syntactic possibilities of the language. The basic syntactic patterns, expanded word groups using individual words, phrases, clauses, verbals, etc., will have been exhibited to them. They will have played with the simple transformation patterns. From their study of literature, they will have encountered various regional and social dialects; in explaining literary passages, they may have been asked to make what amounts to semantic judgments. However, most of this work will have been directed toward making them aware of the nature and the possibilities of their language by observing the familiar. At the junior high level, students are asked not only to see but to describe; they are asked to learn to objectify their knowledge of the language in terms of a descriptive system.

A NOTE CONCERNING THE 1964 REVISION:

The 1964 revision of the unit on syntax has consisted chiefly of the addition of a number of exercises which observe and otherwise utilize passages, sentences, phrases, and words from the various works read in the eighth-grade literature units. The addition of these exercises is designed to provide a greater bond between this language unit and the other units studied in this grade. Therefore, these added exercises are of considerable importance and should be given especial attention. They should not, however, be used to the exclusion of the other materials and exercises to be found in the unit, for they are largely built upon the concepts that can only be got inductively by the student through his work with the other materials and exercises. Nor must all the materials, old and new be used by the teacher. He should, rather, choose from the materials available only those which will suit his particular classroom situation best and which will, at the same time, lead his students inductively to a thorough understanding of the syntactic nature and potentiality of modern English.

After a general knowledge of syntax has been acquired by the student at the beginning of the year, many of the exercises in this unit could be approached later in conjunction with the literature units. In fact, such a procedure is highly encouraged so that the student will become aware of syntactic methods and practices in real situations, that is, in the literature that he encounters in the eighth grade.

Since a general knowledge of syntactic possibilities is more desirable if this knowledge can be applied by the student to his own writing, those exercises or portions of exercises, especially those involving "model-writing," which encourage the student to apply his knowledge should be given particular attention and should be allotted sufficient time for successful execution.

The specific materials which have been added to the unit in the 1964 revision are the six review exercises under Part G of the Review of Form Classes; the whole of the section on Grammaticality; the whole of the section on Kernel Sentences; the six review exercises under Part H of the section on Basic Sentence Patterns; the whole of the section on Headwords; the exercises under Part G of the section on Subordination; Parts E, F, G, and H in the section on Compounding; and the whole of the last section containing Summary Activities.

The materials in the Student Packet are made up wholly of exercises. These correspond in outline to the same exercises in the Teacher Packet; however, all of the suggested procedures and the expected answers to questions have been omitted. These exercises have been reproduced in the Student Packet to facilitate their use, and they will require orderly introduction and continuous administration by the teacher.

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SUGGESTED PROCEDURES:

I. Introduction

The materials included among the suggested procedures for teaching this unit are so arranged that the student can proceed inductively to an analysis of the structural characteristics of the common sentence patterns of the English language. These materials include passages to be used for student analysis. The unit is arranged into separate lessons, not necessarily designed to be covered in any specific class period. Teachers are encouraged to proceed at a rate in accordance with the abilities of the class, going neither so slowly as to create boredom and disinterest nor so rapidly as to prohibit adequate time for the students to observe and analyze their language.

The teacher can encourage continuous activities in connection with this unit much like those of the "Form Classes" unit: language notebooks, charts of structural characteristics of language, vocabulary lists of new grammatical terms, etc.

Again, since there is little homework involved with this unit, the teacher might make frequent use of "pop" quizzes. The teacher must guard against such activities and quizzes becoming drill or busy work. An inductive, scientific approach (even a controlled, artificial one) has the advantage of creating in the student some of the excitement and pleasure of discovery; the "study of grammar" can only too readily be turned into the drudgery and stifling monotony of drill.

The materials in this packet are intended to be self-explanatory and they are intended to be fairly complete. Most of the sentences the students will examine may be placed on the blackboard, although occasionally printed materials in a few areas ought to be made available to the students. If the teacher needs more materials for his own information, he should refer to the bibliography contained in this unit.

II. Review of Form Classes

Since a student's development of syntactical concepts depends upon recognition of the four form classes--nouns, verbs, adjectives, and adverbs--the syntax unit starts out with an inventory and exercises for review.

"The form classes--formerly called parts of speech--include nouns, verbs, adjectives, and adverbs. We can identify these four form classes by three primary criteria: inflectional suffixes, word order, and derivational suffixes."

Have the class:
(1) Copy this statement on alternate lines of a sheet of paper.
(2) Above each word, mark the abbreviation of the form class for that word. The abbreviations are N, V, Adj, and Adv.
(3) Above the function words, simply mark F.

This short inventory will take a very few minutes. Its results will allow you to determine which students need review in which form classes and for what reasons. Group your class according to their review needs. Those students who have no acquaintance with the determination of form classes should be taken back to the seventh grade unit on this subject. Use the following exercises for review and reinforcement only where the students need them.

A. Form classes determined by inflectional suffix.

Finally the movies ended. Ten boys walked to the malt shop. Three boys ordered chocolate milk shakes. Jack and Joe wanted the biggest sundaes. The others decided upon cokes. All of them ordered french fries naturally. Two waitresses were busily writing their orders.

Consider the preceding paragraph with the students:

1. Remember that we have certain clues to use in identifying the form classes of English words. Look at the underlined words in this passage. Organize them into groups according to inflections. You may not remember what the word means, but we may redefine it when we get through with our organization of words.

Group I	Group II	Group III	Group IV
movies	ended	biggest	finally
boys	walked		naturally
boys	ordered		busily
shakes	wanted		
sundaes	decided		
others	ordered		
cokes	writing		
fries			
waitresses			
orders			

In studying form classes we found that certain form classes had certain suffix endings which marked them as members of their own group of words. This passage has pointed out four typical inflectional suffixes, one for each of the four form classes. What is the inflectional suffix for the noun? (-s) What are the inflectional suffixes in this passage for the verb? (-ed and -ing) For the adjective? (-est) And for the adverb? (-ly)

2. These are examples of the inflections we use in English, but these are not all of the inflections we can use. Reword the paragraph so that you will make use of another inflection of the verb. (There will be two possibilities:
   (a) Finally the movie ends. A boy walks to the malt shop. He orders a chocolate milk shake. Some other boy wants the biggest sundae. Another decides upon a coke. He orders French fries naturally.
   Or:
   (b) Finally the movie is ending. Ten boys are walking to the malt shop. Three boys are ordering milk shakes. Jack and Joe are wanting the biggest sundaes. The others are deciding upon cokes. All of them are ordering French fries naturally.)

In paragraph (a), the inflection -ed has been removed from the verbs, and -s substituted. What other change has taken place in the make-up of the words? (The nouns have lost their inflectional suffixes.) What does the loss of the -s suffix on the noun indicate? (Shift from plural to singular.) What number, singular or plural, are all of the nouns in front of the verbs? (Singular) Try to put these nouns in front of the -s ending verbs--movies, boys, others, all of them. Are they idiomatic, typical of the way we talk in English? (No) What conclusion can you reach about verbs ending in -s? (Singular nouns position in front of them.) Now try "I" or "you" in front of the -s ending verbs; "I" and "you" are singular. (They do not position in front of -s inflected verbs.) This characteristic can be stated: present tense verbs following third person singular nouns end in -s.

In paragraph (b), the inflection -ed has been removed from the verbs and -ing substituted. What other change has taken place in the make-up of the sentences? ("Is" and "are" have been used before the -ing inflected verbs.) Can you think of any other words which could be used instead of "is" or "are"? If so, what? (Was or were)

3. We can go back very quickly and recall two additional inflectional suffixes of the noun. On a sheet of paper write this short paragraph:

> The school's movie ended. Jack's father then took the boys to Mr. Smith's malt shop. The shop's cokes and shakes are the best in town.

What are the additional inflections of the noun? (-'s and -s')

4. In your notebooks set up a chart of the inflectional suffixes for the four form classes:

Nouns	Verbs	Adjectives	Adverbs
-s	-ed	-est	-ly
-es	-ing		
-'s	-s (present tense, 3rd person, singular)		
-s'			

Since many words in the English language can be used without inflections, this is only one criterion to be used in the identification of form classes, and it should be considered with the other three criteria.

B. Form classes determined by derivational affixes.

The tratable tratment tratified tratwise.
The vlamous vlamity vlamizes the ronny rontion.
The blenary blaner blanates vlamously.

1. These nonsense words are set into the framework of an English sentence, because, without being able to give any meaning to these nonsense words, we do observe familiarities about these sentences. What is familiar to an English speaker in these sentences? (Function word "the," certain suffixes on words)

   Organize the nonsense words into groups: (Chances are, students will do this by root.)

tratable	vlamous	ronny	blanary
tratment	vlamity	rontion	blaner
tratified	vlamizes		blanates
tratwise	vlamously		

   You can recognize some of these words from their inflectional suffixes. Which are these? (Tratified, vlamized, blanates, vlamously)

   Now we can organize these words into form classes by putting three of these in the verb classification.

Nouns	Verbs	Adjectives	Adverbs
tratment	tratified	tratable	tratwise
vlamity	vlamizes	vlamous	vlamously
rontion	blanates	ronny	
blaner		blanary	

   Try to rewrite the nonsense sentences into English sentences. (Possibilities: The agreeable agreement glorified schoolwise.)

2. Change the following words to nouns:*
   1. appreciate appreciation
   2. apply
   3. agree
   4. attach
   5. jump
   6. achieve
   7. run
   8. preach
   9. marry
   10. conquer
   11. pure
   12. superior
   13. weak
   14. happy

3. Change the following words to verbs:
   1. beauty beautify
   2. deputy
   3. terror
   4. pure
   5. vital
   6. glory
   7. false
   8. sharp
   9. soft

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* Taken from Discovering Your Language, Postman, Morine, and Morine, (New York 1963), pp. 66-68.

    10. strength
    11. hyponotist
    12. black
    13. power
    14. prison
    15. friend
    16. nomination

4. Tell what form class each word is. Change each one to adjective.
    1. rely reliable
    2. hope
    3. courage
    4. beauty
    5. wood
    6. dirt
    7. fear
    8. agree
    9. play
    10. detach
    11. faith
    12. value
    13. danger
    14. marvel
    15. glamor
    16. comfort
5. Take the suffixes you have applied to words and list the ones which make nouns under "nouns," the ones which make verbs under "verbs," etc. Keep this list and keep adding to it. You will find that there are certain derivational suffixes and affixes too which are typical of a ceratin form class.

C. Form classes determined by function word

Finally ______ movie _______ ending. _____ boys _______ walking ____ _____ malt shop. Three boys _____ ordering milk shakes. Jack ____ Joe _____ wanting _______ biggest sundaes. _____ others _______ deciding _____ cokes. All ___ them ________ ordering French fries.

1. Considering the preceding "blankety-blank" paragraph:

    Do you understand the meaning of this paragraph? (Probably yes.) This is not the way we speak English, however understandable the meaning is. Function words in English lay the groundwork; they make the outline into which we fit out meaningful words--the form classes. Make a list of function words which would fit into the above slots. (the, is, are, to, and, etc.)

2. Now enlarge this list and include after each function word

the form class word which follows it, and identify its form class.

the	movie	noun
is	ending	verb
the	boys	noun
are	walking	verb
to		
the	malt shop	noun
are	ordering	verb
and	Joe	noun
are	wanting	verb
the	biggest	adjective
The	others	noun
are	deciding	verb
upon	cokes	noun
of	them	pronoun
are	ordering	verb

3. Our English language is full of marker words: words which mark nouns, words which mark verbs, words which mark adjectives and adverbs. Expand the list you just started to include other function words.

Noun markers Noun Determiners Prepositions	Verb markers Auxiliaries	Adjective and Adverb markers Intensifiers

Connectives may mark any of the form classes, phrases or clauses.

D. Form classes determined by word order.

Word order is the most valid test of the form class of a word; students will decide this for thamselves after they have had experience with form classes. Since the determination of form class by means of word order is so closely related to syntax, this particular review is cursory. The investigation of syntax will reinforce the students' ability to identify form classes.

1.	The		birds	twittered.			
2.	The	late	show	started.			
3.			He	started	the	old	car.
4.	The	young	girls	mixed	many	mud	pies.
5.	The	new	teacher	assigned	the		lesson.

1. We have columns of words here for you to investigate. You find the words in the first and the fourth columns similar. What do you call these words? (Noun-determiners) You know just from the name of the word what form class will follow noun determiners. Which one will? What is the noun in the first sentence? (birds) Are all the words in that column nouns? (Yes) How do you know that? (Girls ends in the inflection of the noun. All

of the rest follow the noun-determiner, with the adjective coming in between the noun-determiner and the noun.) What statement can you make about the appearance of the noun? (It can follow a noun-determiner; an adjective can come in between the noun-determiner and the noun.)

2. You have made an observation about the position of the noun. In making that statement you also identify one spot which the adjective can take. What would that be? (The adjective can come in between the noun-determiner and the noun; it precedes a noun.)
If this statement is true, find another column of adjectives in the sentences. (Sixth column)
What form class are the words in the seventh column? (Nouns) Why? (They follow adjectives; they follow noun-determiners.

(a)	Birds	sing	
	Birds	sing	songs
	boy	played	game
	girl	polished	desk
	team	won	game

(b)	loveliest	birds	sing		
	colorful	birds	sing	beautiful	songs
	tall	boy	played	good	game
	industrious	girl	polished	school	desk
	successful	team	won	final	game

(1) We have columns of words here for you to investigate. Look at set (a). What form class of words are in the first column and how do you know? (They are nouns; two of them end in -s; all of them could take an -s ending.)
What kind of function word could you perhaps put in front of these first column words? (Noun-determiner)
What form class of words are in the second column and how do you know? (Verbs; there are some that have the -ed inflection.)
What form class words appear in the third column? (Nouns again)
What criteria about the word order of form classes can you figure out from these basic sentences? (Nouns come before verbs; nouns can follow verbs; verbs can follow or precede nouns.)

(2) Now look at set (b). Here we have more columns--more slots to fill. What new form class of words comes before what form class? (Nouns) Can you tell by inflectional or derivational suffixes what form class this new one might be? What are some of the siffixes which appear here? (-ful, -est, -ious, -al) This form class is called adjectives. What criteria can you formulate for the appearance of the adjective? (It can come before the noun.)

(3) In set (b) of sentences we are going to create a vacant column at the very beginning of the sentence, and one at the very end of the sentence. Fill in these two slots for each sentence. Do the words that you filled in those slots have any similar forms? (Possibilities might include easily, well, today, etc. The students might be able to observe the -ly inflection of the adverb.) Take these same words and see if they will fit in some other spot in the sentence. (They will

discover that some of the adverbs will cluster with the verb.) What can you say is the criterion for the word order of the adverb? (It is very mobile; it can appear at the beginning of the sentence, with the verb, or at the end of the sentence.)

(4) Lead the students to the conclusion that English is primarily a word order language, and that word order is the most consistently valid of the various criteria for identifying form classes. The following study of syntax is simply an elaboration upon this short review of form class according to word order.

E. Review of test sentences appropriate to each of the form classes.

1. We have four main criteria for identifying form classes. What are they?
    1. Inflectional suffix
    2. Derivational affix.
    3. Function words preceding the form class
    4. Word order

2. By remembering that in English
   (1) certain function words precede certain form classes, and
   (2) form classes appear in certain order in English sentences,
   we can set up test sentences or test frames, for determining form class. Set up a test frame for the noun. (The _____) Why do you know that a word fitting into that slot could be a noun? (Nouns follow the noun-determiner, which is a function word.) Set up a test sentence for a noun. (The _______ walked.) How do you know that a noun would fit into that slot? (It precedes a verb.)

3. Set up a test sentence for the verb. (They _________. They are ___________. They have __________.) Why are words which fit into these slots verbs? (They position after nouns, or after auxiliaries, the function words which are verb-determiners.)

4. We have observed that the adjective positions in two primary spots. What are these? (Attributive and predicate) These are clues that can lead you to test sentences for the adjective. (The _______ girl. The _______ girl is _______. Warn the students that the first of these two frames is the trustworthy one.)

5. Since mobility is one characteristic of the adverb, how would you go about creating a test sentence for the adverb? (Students will come up with several alternatives for this, most of them, however, admitting other form classes. ________ he did it. He did it _______. These two will test for the adverb.)

F. Chart of form class determiners

	Noun	Verb	Adjective	Adverb
Inflections	-s (-es) -s' -'s	-d, -ed, -t -ing	-er -est	-ly
Word-Order	1. Follows noun determiner 2. Follows preposition 3. Precedes verb 4. Follows verb 5. Follows adjective	1. Follows auxiliary 2. Follows noun 3. Precedes noun	1. Follows qualifier 2. Follows noun determiner and precedes noun (attributive position). 3. Follows verb (predicate position)	1. Great mobility a. Beginning of Sentence b. End of sentence c. Cluster with verb 2. Follows qualifier
Derivations	-ac -ace -acy -ade -age -aire -al -an -ance -ancy -ant -ar -ard -ary -asm -ate -cy -dom -eau -ee -eer -en -ence -ency -end -ent -er -ery -ese -ess -et -ette -ety -eur -hood -ial -ian -ice -ics -ide -ier -ine -ion -is -ism -ist -ite -itis -ity -ive -kin -le etc.	-be- en- em- y- re- with- -ate -en -esce -ify -ize	-able -ac -al -an -ant -ar -ary -ate -ed -en -ent -eous -escent -ese -esque -ful -ial -ian -ible -ic -ical -id -ile -ile -ing -ine -ious -ish -ite -ive -less -like -ly -ory -ose -ous	-ly -time -ward -ways -where -wise -way -day -long -meal -pace -side
Test Sentences	The ______	We ______. We are ______. We have ______. He ______(s).	The ____ boy.	I did it ____. ____ I did it. I ____ did it.

G. Review Exercises

1. Eighth graders often speak and write in cliches, often believing, because of inexperience, that they are clever and fresh. Exercise 1 looks at snippets of language mechanically and rhetorically. What form classes can fit into these test sentences, ones more elaborate than "The ________", "The ______ boy", "He ________"? What actual words will fit into these test sentences, words which depart from cliches?

This type of exercise could also be used if slang or jargon became a problem in student writing. Choose a number of examples from student writing, substitute a slot for the offensive word, have students identify the form class for the slot and provide a good substitute word for the slot.

At a glance you can quickly decide what form classes would go into the slots in the right hand column; what would these be? Just as quickly you could decide on specific words to fill these slots, but those words might be commonplace, ordinary, trite; they might be cliches, like the ones in the left hand column. Give careful attention to filling these slots with words which will give fresh, unusual, and impressive appeals.

the acid test	the __________ test
He hit below the belt.	He __________ below the belt.
She heaved a sigh of relief.	She __________ a sigh of relief.
a heated argument	a __________ argument
the grapes of wrath	the __________ of wrath
We live in a fool's paradise.	We __________ in a fool's paradise.
the first robin of spring	the first __________ of spring
It flashed through my mind.	It __________ through my mind.
the finishing touch	the __________ touch
I am drenched to the skin.	I am __________ to the skin.
the dead of night	the __________ of night
a dark horse	a __________ horse
He cut the long story short.	He __________ the long story.
a blood-curling yell	a ______________ yell
She needs no introduction.	She __________ no introduction.
a knotty problem	a __________ problem
the life of the party	the __________ of the party
Do it now or never.	Do it __________ or __________.
a nasty spill.	a __________ nasty
They are bored to death.	They are ________ to death.
The coast is clear.	The __________ is clear.
Now and then we do it.	________ and __________ we do it.
a lone wolf	a __________ wolf.
You must take extra precaution.	You must __________ extra precaution.

2. This exercise in chart form will help students to realize the possibilities of shifting a word from one form class to another. This is done by functional shift, the movement of a word from one form class to another without the addition of derivational affixes.

The down from the geese will be used for pillows.
The tackle downed the ball on the ten yard line.
The down payment was reasonable.
This elevator is going down.

The shifting of a word from one form class to another is more frequently accomplished by the additions of derivational affixes.

In completing Exercise 2, students should be led to observe that not all the blanks in the chart will be filled, and that some blanks may be filled with several possibilities, i.e. strength or strong may be the nouns. Capable students could do this exercise without a dictionary. Average students might go as far as they can without a dictionary, finishing up with one.

Stress patterns distinguish some nouns and verbs, as rebel in the chart. Encourage students to collect examples of their own, such as increase, address, annex, conduct, escort, frequent, insult, perfume, permit, record, object, contest, convict, contrast, imprint.

The words in Exercise 2 have come from the eighth grade reading. Students might make similar charts using other words they find in their reading. This type of activity could be related to vocabulary meanings.

Below is a chart of the four form classes, with one of the four blanks on each vertical line filled in. You fill in as many of the vacant blanks as you possibly can.

1. (NOUN)	2. (VERB)	3. (ADJECTIVE)	4. (ADVERB)
tyranny	(tyrannize)	(tyrannical)	(tyrannically)
re´bel*	(re-bel´)	(rebellious)	(rebelliously)
unity	(unify)	(unified)	
(weak or weakness)	(weaken)	weak	(weakly)
(strong or strength)	(strengthen)	strong	(strongly)
(organization)	organize	(organizational)	(organizationally)
(recognition)	recognize	(recognizable)	(recognizably)
(reputation)	repute	(reputable)	(reputably)
symbol	(symbolize)	(symbolic)	(symbolically)
(excellence)	excel	(excellent)	(excellently)
prophet	(prophesy)	(prophetic)	(prophetically)
(comfort)	(comfort)	(comfortable)	comfortably
(perpendicular or perpendicle)		perpendicular	(perpendicularly)
(final)	(finalize)	final	(finally)
(malignancy)	malign	(malignant)	(malignantly)
(appearance)	appear		
(envy)	envy	(enviable)	(enviably)
dignity	(dignify)	(dignified)	
(reduction)	reduce	(reducible)	(reducibly)
(vitality)	(vitalize)	vital	(vitally)
(continuance)	continue	(continual)	(continually)
(rarity)	(rarify)	rare	(rarely)
(remembrance)	remember	(rememberable)	
(tranquilizer)	(tranquilize)	tranquil	(tranquilly)
(hardness)	(harden)	hard	(hardly)

* Why is the accent marked in this word? Find other examples of words which shift form class by shifting the accent.

absence	(absent)	(absent)	(absently)
economy	(economize)	(economical)	(economically)
end	(end)	(ended)	

3. Stuart Chase says that the average person utters 6,000 words each day. The average teen-ager certainly utters more. How fitting that he should have an opportunity to know a great deal about words, and to write about his well-used assets. The teacher should be alert to possibilities for student observation, analysis, and composition about his language.

Writing assignment (3a) might be appropriate for average students while assignment (3b) might be appropriate for abler students.

ROUND AT THE THEATER-IN-THE-ROUND, A ROUND LITTLE ACTOR COMICALLY ROUNDED THE CORNER.

Round fills four structural slots in the sentence.

The meaning of round arises in Latin, rotundus meaning wheel. Meaning transfers from one form class to another, rounding up additional meaning as the semantic transitions are made.

This wheel rolls smoothly in most of the meanings of the word: to round off or smooth the round of a chair or ladder; to form into a round for a round dance after the completion of the round-up, perhaps accompanied by a round of song (utilizing full, round tones), and commended by a round of applause, and naturally followed by a meal of round steak and a round of drinks, round a certain time of the evening; to round the numbers, to round off the composition on the word round.

This wheel rolls less comfortably when the meaning moves to the firing of a round of ammunition, to the plump round figure, to a rounder, or to roundaboutness.

****

(1) Study this paragraph carefully, particularly observing how round works as nouns, verbs, adjectives, and adverbs. Not only does the word round fit into different slots in the sentence, it also provides a great variety of meanings.

(2) Use the word down in sentences which illustrate different meanings of the word. Identify the form classes of the various downs. The word can might be another word which could work easily into this kind of exercise. (Be sure to use down and can as function words.)

(3) Writing assignments

(a) Select one word from the following list, and write as many sentences as possible in which the word has a different meaning. Later, exchange papers, and identify the form classes of the assigned words.

(b) Select a word from this list, and develop a paragraph about it, using the round paragraph as a model.

dog
mother
ford
brand
track
force
fence
hook
frog
slice
ball
free
circle
cover
chair
stuff
hood
piece
water
labor

4. "There are croakers in every country, always boding its ruin."
In every country, there are croakers, always boding its ruin.
In every country, always boding its ruin, there are croakers.
Always boding its ruin, there are croakers in every country.

"Such a one then lived in Philadelphia."
Then such a one lived in Philadelphia.
Then in Philadelphia, such a one lived.
In Philadelphia, such a one lived then.

"This gentleman, a stranger to me, stopt one day at my door."
At my door, this gentleman, a stranger to me, stopt one day.
One day at my door, this gentleman, a stranger to me, stopt.
One day at my door, a stranger to me, this gentleman, stopt.

"He asked me if I was the young man who had lately opened a new printing house."

(1) These four quoted sentences come from The Autobiography of Benjamin to illustrate moveables. In the first three sentences what kind of words or structures can be moved around in the sentence? (Adverbs, prepositional phrases, verbs ending in -ing, a noun in apposition) What spots in the sentence can they not fit into? (They can fit into almost any spot.)

(2) In the fourth sentence experiment with the words to discover a moveable. Are there any? What? (Lately)

(3) Did Benjamin Franklin plan the best possible syntax for his sentences? Does the meaning of the sentences change when the moveables move? (Yes to both probably)

(4) Experiment with these additional sentences from Benjamin Franklin

"Had I known him before I engaged in business, probably I never should have done it."
"At last I had the pleasure of seeing him give five times as much for one."
"The gratitude I felt toward George House has made me often more ready than perhaps I should otherwise have been to assist young beginners."

(5) Experiment with your own sentences in your own composition. Look at the moveables. Place them in different spots in your sentences. By looking at them in different spots in the sentences and by listening to them in different spots in the sentences you can better decide on the best possible spot.

5. This exercuse would be especially appropriate for small group activity. Allow six different groups to work on the six different passages. The group members could pool their knowledge about form classes, and arrive at final counts quickly and authoritatively.

Students will observe that the sentences from the King James Version of the Bible (historically called "the ornate style") have few adjectives and adverbs. The number of these modifiers do increase in the six selections, but students may be surprised to find that the numbers of modifiers do not equal the numbers of nouns and verbs.

Have students read aloud the results of part 2 of this exercise. They should be able to discuss the effects of the original passages and their rewritten passages. Take a vote on which passage is preferred. Perhaps a very verbal member of the class might be able to explain why one passage is preferred to the other.

The passages in Exercise 5 will be used again later in this Supplement for syntactic purposes. Be sure to keep the counts made in this exercise so that students may compare them to their observations about syntax.

Examine the following passages. Remember that you are making special observations of the form classes of words.

(a) And it came to pass, when Joseph was come unto his brethren, that they stripped Joseph out of his coat, his coat of many colours, that was on him; and they took him, and cast him into a pit: and the pit was empty, there was no water in it. And they sat down to eat bread: and they lifted up their eyes and looked, and, behold, a company of Ishmaelites came from Gilead with their camels bearing spicery and balm and myrrh, going to carry it down to Egypt. Genesis 37

(b) In reality, there is, perhaps, no one of our natural passions so hard to subdue as pride. Disguise it, struggle with it, beat it down, stifle it, mortify it as much as one pleases, it is still alive, and will every now and then peep out and show itself; you will see it, perhaps often in this history; for, even if I could conceive that I had compleatly overcome it, I should probably be proud of my humility. Autobiography p. 114

(c) As he watched the bird dipped again slanting his wings for the dive and then swinging them wildly and ineffectually as he followed the flying fish. The old man could see the slight bulge in the water that the big dolphin raised as they followed the escaping fish. The dolphin were cutting through the water below the flight of the fish and would be in the water, driving at speed, when the fish dropped. It is a big school of dolphin, he thought. They are wide spread and the flying fish have little chance. The bird has no chance. The flying fish are too big for him and they go too fast. The Old Man and the Sea, p. 31

(d) He lay down on a wide bunk that stretched across the end of the room. In the other end, cracker boxes were made to serve as furniture. They were grouped about the fireplace. A picture from an illustrated weekly was upon the log walls, and three rifles were paralleled on pegs. Equipments hung on handy projections, and some tin dishes lay upon a small pile of firewood.

A folded tent was serving as a roof. The sunlight, without, beating upon it, made it glow a light yellow shade. A small window shot an oblique square of whiter light upon the cluttered floor. The smoke from the fire at times neglected the clay chimney and wreathed into the room, and this flimsy chimney of clay and sticks made endless threats to set ablaze the whole establishment. Red Badge of Courage, p. 29

(e) The farmer was in his market smock. He had long, straight gray hair and a thin, mean mouth. You could tell by looking at him he had gone into this little business for the love of money, not for the love of freedom.

Rab had been shaken out of his usual nice balance between quick action and caution by his passionate desire for a good gun. Otherwise he would not have mixed himself up with such a man. Rab himself was looking a little sullen. He was not used to defeat. What would they do to him? They might imprison him. They might flog him. Worst of all, they might turn him over to some tough top sergeant to be taught "a lesson." This informal punishment would doubtless be the worst. Johnny Tremain, p. 168

(f) A low undulating line of sand-hills bounded the horizon before us. That day we rode ten hours, and it was dusk before we entered the hollows and gorges of these gloomy little hills. At length we gained the summit, and the long-expected valley of the Platte lay before us. We all drew rein, and sat joyfully looking down upon the prospect. It was right welcome; strange, too, and striking to the imagination, and yet it had not one picturesque or beautiful feature; nor had it any of the features of grandeur, other than its vast extent, its solitutde and its wildness. Oregon Trail, p. 55

(1) These passages come from your seventh and eighth grade literature. You are going to take a careful look at the smallest units of written composition--the words. By carefully observing and analyzing words, you will start building your own ideas about the style of a particular author's writing. First count the nouns in one of the six passages, then the verbs, adjectives, and adverbs. Compare the number of each form class to the total number of words in the passage. Counts of all six passages will be made by various members of the class. On the blackboard make this chart which will show the comparative proportions

	Total number of words	Nouns	Verbs	Adjectives	Adverbs
Genesis					
Autobiography Ben Franklin					
The Old Man and The Sea					
Red Badge of Courage					
Johnny Tremain					

(2) Rewrite the passages inserting considerably more of the two form classes ranking lowest in the court.

(3) Rewrite the passages taking out all of the adjectives and adverbs.

(4) Several of these passages, 'a' through 'f', would serve as excellent models for model-writing. The students should attempt to write a paragraph, using the syntax of the original passages but changing the sense to suit themselves. The passages from Genesis, for example, might be rewritten in the following manner:

> And it came to pass, when Mr. Principal was come unto the classroom, that we frightened Mr. Principal out of his wits, his wits of dubious number, that were about him; and we took him, and backed him into a corner, and the corner was bare, there was no refuge in it. And we turned around to ignore him: and we lifted up our eyes and stared, and, golly, a bunch of teachers came from everywhere with their hands holding rulers and sticks and straps, threatening to knock us down to size.

Likewise, the second passage might be rendered in this manner:

> In reality, there is, perhaps, no object of our deep hatred so hard to subdue as English. Sugar it, chew on it, swallow it down, digest it, doctor it as much as you please, it is still unctuous, and will every week or so eruct up and betray itself; we will detest it, perhaps, often during this year; for, even if we could believe that we had entirely assimilated it, we should probably be sickened by its aftereffects.

These examples, admittedly, are not very inspired, nor perhaps will those written by the students be any more so; still, the exercise of model-writing does capture the interest of the student at the same time that it makes him more aware of the syntactic nature of the passage used as a model. And since, as in the case of these models drawn from Genesis and Franklin's Autobiography, some of the models contain syntactic patterns which are largely foreign to modern writing, this sort of exercise exposes the student to a wider range of syntactic features than he otherwise would meet.

6. It doesn't take students long to decide that word order or syntax is the most consistently dependable method of assigning an actual word to a form class. Here is an opportunity for him to write about his observations. If a student decides upon inflectional suffix, perhaps, as the most foolproof method, give this sentence to him:

    The children walk to school every morning of the school year.

Only one inflectional suffix. The students can easily [illegible] ity of syntax for [illegible]

(1) Recall the various ways you can assign a word to one of the form classes. Write a paragraph describing these ways. Use examples to illustrate the ways you use to identify nouns, verbs, adjectives and adverbs.

(2) One of the ways you listed in answer to question (1) is the most foolproof of all the ways. Write a paragraph explaining which method of identifying a word as a member of a certain form class is the best. Give examples to prove your method the best.

(3) Write your own definition of function words. Write a paragraph explaining the necessity of function words. You can make up examples which illustrate the necessity of function words.

III. Grammaticality

This exercise directs the student to observe that he already has an unconscious grammar machine, whereby he can recognize one group of words as being grammatical English and another jumbled group of words as not being grammatical.

This is a good spot for the student to begin to understand, if he does not already, that grammar has nothing to do with saying "It is I" instead of "It is me." These matters of usage are so commonly considered to be grammar, that it might be well to go to Nelson Francis in The Structure of American English to see what he has to say about grammar. "Grammar can be defined as the branch of linguistics which deals with the organization of morphemic units [words] into meaningful combinations larger than words. It should be noted that this definition eliminates yet another common meaning of the word grammar as it is used in ordinary speech. We often hear it said that a certain person 'uses good grammar,' or that a give expression is 'bad grammar.' Remarks of this sort are not usually intended as comments either about grammatical structure or about the study thereof. Instead, they are judgments as to the appropriateness and social acceptability of individual expressions in a given dialect."

Grammar, then, deals with the sentence, and it might be helpful to survey some recent thinking about sentences. In English Prose Style, by Herbert Read says, "The sentence is a single cry. It is a unit of expression, and its various qualities--length, rhythm and structure--are determined by a right sense of this unity." According to Charles C. Fries in The Structure of English, "An English sentence then is not a group of words as words but rather a structure made up of form-classes or parts of speech." He classifies sentences according to an analysis of stimulus and response. Francis defines sentences as "as much of the uninterrupted utterance of a single speaker as is included either between the beginning of the utterance and the pause which ends a sentence-final contour or between two such pauses." Barbara M. W. Strang in Modern English Structure makes a distinction between the spoken sentence and the written sentence.

It is not sufficient for our students to think in terms of sentences being a group of words with a subject and predicate expressing a complete thought. In the groups of examples in Exercise 7 students will find "sentences" which do not have subjects and/or predicates, and in the traditional sense do not express complete thoughts. In their reading observant students will find skillfully used groups of words which have been called sentence fragments. Students will often write in unskillful fragments, but they must be encouraged to write with meaningful groups of words. If they can skillfully use a sentence fragment, as those found in the selections from Esther Forbes and T. H. White, encourage them to do so in moderation. Excessive use of sentence fragments would dull their impact, just as do other rhetorical excesses.

An especially pertinent and useful approach to sentences may be found in The International Journal of American Linguistics, Vol. XXIX, p. 45-54, where Viola Waterhouse writes about "Independent and Dependent Sentences." She introduces her subject by recalling independent and dependent structures in language and extends this relationship to groups of sentences, her whole concept being shown in the following chart, compiled from the points made in her article:

	Independent Structure	Dependent Structure
Words	Free Morpheme (boy, come)	Bound morpheme (-ing, re-, -ed)
Phrases (excellent school)	Headword (school)	Modifier (excellent)
Within Clauses (Crowds came at night)	Subject-Predicate Combination (Crowds came)	Optional Peripheral Expansions (at night)
Within Sentences (He worked because he needed the money.)	Independent Clause (He worked)	Dependent Clause (because he needed the money)
Within the Composition Sequential sentences	Independent Sentence Mr. Curtis is the chairman of the committee.	Dependent Sentence However, he is a poor organizer
Referential sentences	Jane broke her arm. . . . The faculty met on Tuesday . . .	. . She didn't complain. . . They always do.
Completive sentences	Which one was it? . . . Some were blood-stained . . .	. . This one. . . No uniforms.

"Independent sentences are defined . . . as those which can occur as a complete utterance without ambiguity, or which can initiate discourse without necessity for some type of defining context. Dependent sentences are defined as those which cannot occur as a complete utterance or initiate discourse without some defining context, and which are designated.

(1) Additive or sequential, formally marked by a sequence-marking particle or phrase. Examples: sentences marked by sequence markers such as however, too, hence, similarly, thus, etc.

(2) Substitutional or referential, formally marked by the presence of an anaphoric substitute without identified referent in the same sentence. Examples: the first sentence in *The Old Man and the Sea* starts out with a referential sentence in which the personal pronoun he has no identified referent in the same sentence; sentences with proverbs, "I honestly would," "We all do," "Now I do not," "Perhaps you will."

(3) Truncated or completive, marked by an incomplete structure, i.e. composed of only part of the structure considered obligatory to a full independent sentence. Examples: (Which one was it?) "This one," (How does it look?) "Pretty good."

One of the values of Viola Waterhouse's discussion is that it calls attention to the dependence of some full sentences to others within the paragraph; hence, her consideration goes beyond our general concept of dependence, which is limited to structures smaller than the sentence.

1.

a. The glashly shidoits latotated through the bluntite viviandals.
Rampotishly, the hantrible drotters brobodized many very tremish walletments.
In the trantions, every dratful blinsion chrinshed and hankly ranshed.
Fransly they strimped the vropet, yes very fransly.

b. Three plus seven are equal to twelve.
The capital of the United States is located in Lincoln, Nebraska.
Coca-Cola is one of the 102 natural and man-made elements.
Aunt Jane waters her plants with catsup.

c. Joe fancy new bicycle bought himself for.
principal the walked into auditorium the.
Aunt Jane waters water with plants her.
Hydrogen elements is. one the of.
D.C. Washington capital is the located in, not Nebraska Lincoln

d. "Can't you," he howled miserably under the door, "turn me into something while I'm locked up like this?"
"I can't get the spells through the key-hole."
"Through the what?"
"The KEY-HOLE."
"Oh!"
"Are you there?"
"Yes."
"What?"
"What?"
"Confusion take this shouting!" *Once and Future King*

e. The dog bit the postman.
The postman bit the dog.

The 4-H Club planted the seeds.
The seeds planted the 4-H Club.

f. Everywhere else in the village was silence.
The music, small as the chirping of a cricket, filled that silence.
Down the road came twenty or thirty tired and ragged men.
Some were bloodstained.
No uniforms.
A curious arsenal of weapons.

The long horizontal light of the sinking sun struck into their faces and
made them seem alike.
Thin-faced in the manner of Yankee men.
High cheek-boned. Johnny Tremain

g. My favorite novel was Johnny Tremain.
Composed by Esther Forbes.
Because it was a historical novel.
I read it from cover to cover. (Student theme)

h. Him and me went to the show. I done it.
He and I went to the show. I did it.

What eighth-grader hasn't heard the word grammar? All have heard the word, but few could define it for the purposes of this English class. Many would say that grammar is good or bad; good grammar would be saying, "He and I went to the show," rather than "Him and me went to the show." Others might say, "All students have to learn some grammar." And the teacher might comment, "We are going to investigate English structural grammar." Obviously the words grammar are used differently here; you will come back and decide upon the meaning of the word you want to use after you have observed the possibilities of language displaed on the previous page.

(1) Pick out the groups of sentences or utterances which sound like the English language to you. (All groups except c are grammatical.)

(2) Do you always understand every word in an English sentence? (No)

(3) Do you understand every word in group a? (No) Are the sentences in group a grammatical? (Yes, they sound as though their syntax is right.)

(4) In group b, four completely false and ridiculous statements are made, but could an English speaker make these statements? (Yes) Are all English sentences statements of true fact? (No)

(5) What is happening in group d? (Conversation) Do you consider "I can't get the spells through the key-hole" a sentence? (Most students will.) Do you consider "Through the what?" a sentence? (Yes) Is it all right for a person to speak that way? (Yes) Is it all right for a person to write that way? (Yes)

(6) Exactly the same words make up the first two sentences in group e. Since the exact same words make up the two sentences, do they mean exactly the same thing? (No) Why not? (Because of word order) Does that apply to the last two sentences? (Yes) What does this example tell you about the English language, something you have already observed? (Word order or syntax is all-important in English.)

(7) If you were to write in a theme of your own "Composed by Esther Forbes" as a complete sentence, your teacher would mark that as a sentence fragment or an incomplete sentence. Why would a teacher not permit you to have a sentence like that, when Esther Forbes has a sentence--it begins with a capital letter and ends with a period--"Thin-faced in the manner of Yankee men."?

(8) Why are the groups of words in group c not sentences--why are they not grammatical? (Syntax is wrong.) Rearrange them into grammatical utterances.

(9) How many members of the class believe that all four sentences in group h display grammaticality? Are these all sentences that English speakers might speak? (Yes)

In answering these questions you have observed the following about grammatical sentences, or grammaticality (check the meaning of the suffix -ity in your dictionary; what form class does it identify?).

Grammaticality is the ordering of words into sentences in a way that is meaningful to the English speaker and the English listener.
Grammaticality is the unconscious using of syntax.
Grammaticality is a skill developed by an English speaker by the age of six.

Grammaticality is not concerned with the usage of certain words, the vocabulary definition of words, or statements of truth or falsehood.

IV. Kernel Sentences

This is the type of activity which could easily be adapted to any literature the students are reading. It gives the students an opportunity to observe the limitless ways sentences may be expanded.

The terminology, kernel sentence, comes from Paul Roberts in English Sentences. "When we try to describe English, we find that we get the shortest and neatest description if we suppose that it consists of two fundamentally different kinds of sentences. There is first of all a kernel or base--a rather small set of sentence types which we have here called basic sentences. . . . All the rest of English is transformation. That is, all the more complicated sentences of English can be explained as deriving from the basic sentences. Given the kernel, the set of basic sentences, we can describe the great variety of English by explaining the rules by which complicated sentences are made out of basic sentences."

The teacher should work closely with the student here, encouraging expansion until the kernel sentences consume the length and the character of the original, fully-expanded sentences.

The kernel sentences in Exercise A come from these Johnny Tremain sentences:

1. On Rocky Islands gulls woke.
2. Silently they floated in on the town, but when their icy eyes sighted the first dead fish, first bits of garbage about the ships and wharves, they began to scream and quarrel.
3. The cocks in Boston back yards had long before cried the coming of day.
4. Now the hens were also awake, scratching, clucking, laying eggs.
5. Cats in malt houses, granaries, ship holds, mansions and hovels caught a last mouse, settled down to wash their fur and sleep.
6. In hundreds of houses sleepy women woke sleepier children.
7. And so, in a crooked little house at the head of Hancock's Wharf on crowded Fish Street, Mrs. Lapham stood at the foot of a ladder leading to the attic where her father-in law's apprentices slept.

8. He was a rather skinny boy, neither large nor small for fourteen.
9. He watched the gulls, so fierce and beautiful, fighting, and screaming among the ships.
10. As an appretice he was little more than a slave until he had served his master seven years.
11. Then he took the key to the shop out of his pocket as though he owned it.
12. He was a peaceful, kind, remote old man.

The kernel sentences in Exercise B come from the following:

1. This fish just moved away slowly and the old man could not raise him an inch. The Old Man and the Sea
2. During my flying training, I had girl trouble, too. God Is My Co-Pilot, p. 42
3. It was the most marvellous room that he had ever been in. Sword and the Stone, p. 30
4. Slowly and solemnly, one behind the other, four long trains of oxen and four emigrant wagons rolled over the crest of the hill and gravely descended, while R________ rode in state in the van. The Oregon Trail, p. 51
5. Don Quixote understood him very well, and with great calmness answered him. Don Quixote, p. 47
6. On the slope to the left there was a long row of guns, gruff and maddened, denouncing the enemy, who, down through the woods, were forming for another attack in the pitiless monotony of conflicts. Red Badge of Courage, p. 168
7. Mr. Lyte was talking as informally as though he and Mr. Dana were alone together, sitting at a tavern, cracking walnuts, drinking Madeira. Johnny Tremain, p. 81
8. Mr. Hancock was comfortably seated in the one armchair which was kept in the shop for patrons. Johnny Tremain, p. 13
9. On the next day we travelled farther, crossing the wide sterile basin called "Goche's Hole." Oregon Trail, p. 217
10. It was a cold wet evening, such as may happen even toward the end of August. Sword and Stone, p. 73

A. Here is a collection of sentences which you might expect to find in a first grade primer. In the eighth grade, these may be called kernel sentences. They contain the headwords which are vital as the skeleton of the sentences. First, figure out the basic sentence pattern for each sentence. Second, expand these kernel sentences, adding modifiers or structures of modification to nouns, verbs, adjectives, or adverbs. When you finish you will discover how Esther Forbes expanded these kernel sentences in the early pages of Johnny Tremain.

1. Gulls woke.
2. They floated, butthey began.
3. Cocks had cried.
4. Hens were awake.
5. Cats caught mouse.
6. Women woke children.
7. Mrs. Lapham stood.
8. He was a boy
9. He watched gulls
10. He was a slave, until he served master.
11. He took the key.
12. He was a man.

B. Here are several kernel sentences, ones pared down to the most necessary words. You expand these kernel sentences by adding structures of modification to nouns, verbs, adjectives, or adverbs.

1. The fish moved and man could raise him.
2. I had trouble.
3. It was the room.
4. Trains of oxen and wagons rolled.
5. Don Quixote understood and answered.
6. There was a row.
7. Mr. Lyte was talking.
8. Mr. Hancock was seated.
9. We travelled.
10. It was evening.

Before you start working your teacher may tell you which authors have expanded these kernel sentences with structures of modification. When you have finished, your teacher will show you how skillfull authors expanded these kernels.

V. Basic Sentence Patterns

In teaching the basic sentence patterns inductively there are two possible avenues of approach. In the first the materials from which the patterns are to be induced are controlled so that the number of student errors in arriving at a classification is kept at a minimum. The time consumed willbe relatively short and the teacher will always be aware of the direction which the analysis will take. The first approach then, with controlled materials, is safe. The second approach is open to the ingenuity of the students who may choose their own materials for analysis and proceed by trial and error to formulate the sentence patterns which are basic to English. Although this second approach is somewhat nebulous in outline, it is a realistic experience in that the student will be confronted with the mass of language data, rather than carefully selected samples. The teacher must be in full command of the materials and possible analyses, must be willing to allow students to make monumental errors, and must allow students to correct their own errors in testing their hypotheses.

In beginning the second approach the students might select material from a variety of written sources, or they might work at first with only sentences they themselves compose in a romoved context, that is, a context in which the topic under discussion is not included. In such a context what have been traditionally called sentence fragments will almost never appear for the simple reason that the item or topic cannot be displayed or referred to non-verbally. The students might be asked to use only simple constructions and then to strip their sentences of adjectives, adverbs, and prepositional phrases which might be expressed in additional simple sentences. Thus "The brown dog ran around the corner," may be rewritten as follows:

The dog is brown.
The dog ran around the corner.

When a considerable bulk of such sentences has been collected, analysis into types may begin.

The investigation of syntax, the arrangement of words into sentences, depends upon basic or "kernel" sentences, the latter being Paul Roberts' terminology. Here we are dealing with the fabric, upon which the embroidery--more adjectives and adverbs, prepositional phrases or other phrases and clauses "kernel" sentences in themselves,--may be applied. Constantly remind the students that they are working with the basic elements of the sentences, and these basics simply serve as a framework for all English sentences.

Grammarians distinguish from four to ten basic sentence patterns. These lessons will start out with the four most basic patterns--an absolute minimum--and work up to the ten basic sentence patterns. In order to make later transformations in the sentence patterns, it is necessary to attain the level of ten patterns.

In the unit the following symbols are used:

N - Noun
V - Verb
Adj. - Adjective
Adv. - Adverb
Aux. - Auxiliary
( ) - The grammatical element enclosed in parentheses is optional; it may be included in the sentence pattern, or it may be left out.
n - Any number of words.
D - Determiner

Students should keep notebooks, accumulating their own information about the syntax of the English language from classroom discussions and blackboard information.

A. Introductory exercises.

The crowd is preparing a picnic. The food smells good. The meat cooks slowly. It is good meat. The girls slice the tomatoes. Jane gives Sarah a taste. One girl slices the buns. The potato chips are here. The boys crank the ice cream. The freezer gives them trouble. The meal is ready. It is delicious.

1. Read this passage and attempt to classify the sentences into different patterns. The patterns depend ~~upon smaller~~ elements, just as a pattern for a dress is made up of sleeve, blouse, and skirt; or the pattern for an electric motor is made up of a field magnet, an armature, and a commutator. What would the basic elements of an English sentence be? (The words) How would you classify these basic elements? (By form classes)

2. In working with these patterns for sentences we can disregard all the function words for the time being and concern ourselves with the four form classes, remembering to include pronouns with the nouns. All of the sentences in our passage start out with the same two elements, or form classes. What are they? (Noun and verb)

3. These two together make the very simplest English sentence--"Birds fly." "Boys run." "It rains." You very seldom speak, much less write, sentences like these; but you can easily see that noun plus verb is the core of each sentence. Look beyond the original noun plus verb and classify the sentences according to the elements that follow.

N. V. N.
The crowd is preparing a picnic.
It is good meat.
The girls slice the tomatoes.
One girl slices the buns.
The boys crank the ice cream.

N. V. N. N.
Jane gives Sarah a taste.
The freezer gives them trouble.

N. V. Adj.
The food smells good.
The meal is ready.

N. V. (Adv.)*
The meat cooks slowly.
The potato chips are here.

* Parentheses mean that the item may or may not appear. This device is used throughout the syntax unit.

4. Using these four basic sentence patterns, make up your own sentences to fit these patterns.

B. Students may work individually or in teams creating their own sentences following these patterns. Remind them to eliminate extraneous words and phrases should they crop in. Suggest that after the students are familiar with all of the sentence patterns, they will be aware that these extraneous elements do not disturb the basic sentence patterns. When students come up with sentences which they think pattern outside of these four "kernels," encourage them to take a closer look. Keep running lists of the basic sentence patterns on the board, after the students have observed them. Students should be expected to keep their own lists of patterns as well, and also their own examples of sentences in these patterns.

C. Expansion of the N. V. Adj. pattern

The food smells good.
The food is good.
The dessert tastes delicious.
Pie is delicious.
The player looked downcast.
Joe was sad.
The chorus sounded fine.
The solo was flat.
The crowd remained silent.
The boys are quiet.
The puppy remained pitiful.
The litter was healthy.
The student seemed smart.
Chris is intelligent.

1. What are the four all-inclusive sentence patterns we have determined so far? (N. V. N.; N. V. N. N.; N. V. Adj.; N. V. [Adv.].)
2. Which pattern have we expanded? (N. V. Adj.)
3. Which element of the pattern did we use for making the distinction? (Verb)

4. Name the two basic sentence patterns which developed from this one. [1. N. V. (Adj.), 2. N. be (Adj.)]
5. What name did we give to the verbs which could pattern in the first basic sentence pattern? (Intransitive)
6. What all-inclusive pattern would all of the above sentences fit into? (N. V. Adj.)
7. We can divide these sentences into more definitive patterns than N. V. Adj. How would you go about making such a division? (By looking at the verbs) Make this division.

Verbs	"be" verbs
The food smells good.	The food is good.
The dessert tastes delicious.	Pie is delicious.
The player looked downcast.	Joe was sad.
The chorus sounded fine.	The solo was quiet.
The crowd remained silent.	The boys are quiet.
The puppy remained pitiful.	The litter was healthy.
The student seemed smart.	Chris is intelligent.

8. Formulate the two basic sentence patterns which could be developed from N. V. Adj.
   3. N. V. Adj.
   4. N. be Adj.
9. Can the intransitive verbs which fit into sentence pattern 1 fit into sentence pattern 3? Try some of them. (None of them will fit.)
10. In sentence pattern 3 we have only a limited number of possible verbs and these are called linking verbs. The list of linking verbs is much shorter than the list of intransitive verbs of pattern one. There are thousands of intransitive verbs, but only a few linking verbs in general use--appear, become, feel, grow, look, remain, seem, smell, sound, taste.
11. The students might write a specific number of sentences using these first four patterns, and then exchange lists. The recipient of the list could identify the basic sentence pattern number for each sentence on the list in front of him.

D. Expansion of the N. V. (Adv.) pattern.

I go.
The girl goes.
John went away.
He is outside.
The dish fell.
The book falls.
The child falls off.
The friends dropped in.
He is inside.

The dog walked out.
We were out.
She walks in.
I walk.
The parade passed nearby.
I passed.
It is nearby.
My cat is inside.
She stepped inside.

1. This is a group of sentences which fit into a pattern we have already distinguished. What is it? (N. V. Adv.)
2. In order to investigate our language as thoroughly as possible we want to make still finer distinctions. How else might we subdivide this pattern?
   (a. By the nouns, singular or plural; noun or pronoun; noun with determiner or noun without determiner.
   b. Presence of adverb or absence of adverb.
   c. The verb "to be" or "go," "fall," "drop," "walk," "pass," "step," etc. Praise the first two responses and develop the third.)
3. As preparation for future work with syntax we need to make a distinction between these two variations of our one pattern:
   1. N. V. (Adv.)
   2. N. be (Adv.)
4. We have a limited number of "be" verbs with which we want to be familiar. What words could you substitute for "is" or "are" in the above sentences? (Was, were, shall be, will be, has been, had been, have been, shall have been, will have been. The teacher might wish to set up a conjugation of the verb "to be.")
5. We have a special name for the other verbs--"go," "fall," "drop," "walk," "pass," "step"--in this sentence pattern. The name is intransitive verb. This is a subclass of verbs that fit in the sentence pattern, N. V. (Adv.)
6. Assign sentences to be written according to these two patterns. You might assign a certain number to be written with determiners in front of the nouns with adverbs; verb-adverb combinations such as "drop in," "pass by," "go away," "look up," "come to," "look on," where the adverb markedly affects the meaning of the verb; using only verbs with the -ed inflection and some of those with auxiliaries; using as many adverbs after "is" as possible; etc. Perhaps the students should be reminded of the distinction of the adverb after a "be" verb, and the adjective in the predicate position. Can that adjective move back to the attributive position?
7. Recall the function words which may precede the verb. (Auxiliaries) How can you fit any of these into the above sentences without ruining the sentence patterns? (I am going. The girl is going. John has gone away. etc.)

E. Expansion of the N. V. N. pattern.

The hunter shot the pheasant.
Mark was the hunter
Jean became a hunter.
The class saw the movie.
She became a movie star.
The man was the director.
Paul remained my friend.
The friends pushed the car.
The car was a Ford.

The senior seemed the leader.
He was the quarterback.
He called the signals.
Curt was the captain.
The team chose him.
The crowd cheered the team.
Jack made a touchdown.
Central High won the game.
Central became champions.

1. By reviewing the basic sentence patterns we can more easily see other sentence patterns emerging. What are the all-inclusive patterns? (N. V. N.; N. V. N. N.; N. V. (Adv.); N. V. Adj.)
2. We have expanded the N. V. (Adv.) and the N. V. Adj. patterns into
    1. N. V.--Intransitive (Adv.)
    2. N. V.--be (Adv.)
    3. N. V.--Linking Adj.
    4. N. V.--be Adj.

   What is the big pattern for the above sentence? (N. V. N.)
3. You can certainly make the distinction with these sentences that we were able to make with the two sets of sentences which involved adjectives and adverbs. What are these distinctions? (Distinctions between verbs and "be" verbs) You are to group these sentences into three different groups. What will the groups be?

a. The hunter shot the pheasant.
The class saw the movie.
The friends pushed the car.
He called the signals.
The team chose him.
The crowd cheered the team.
Jack made a touchdown.
Central High won the game.

b. Mark was the hunter.
The man was the director.
The car was a Ford.
He was the quarterback.
Curt was the captain.

c. Jean became a hunter.
She became a movie star.
Paul remained my friend.
The senior seemed the leader.
Central became champions.

4. The verbs in the first group of sentences are called transitive verbs, a subclass of verbs which includes thousands of different words. What can you observe about the first noun and the second noun in this sentence pattern? (They refer to different entities--persons, places or things.)

5. In the third group of sentences observe the relationship between the first noun and the second noun. Is it the same as in the first group of sentences? (no) Is it the same as in the second group of sentences? (Yes) What is this relationship? (The first noun and the second noun refer to the same person, place, or thing.)
6. It may seem that we are making rather fine distinctions here between the verbs in the first group of sentences, the second, and the third. However, as we go farther in our investigation of syntax you will realize why we have made these distinctions.
7. We have now refined the N. V. N. pattern into what patterns?
    5. N. V.--transitive N.
    6. N. V.--Become N.
    7. N. V.--be N.
8. Be sure that the class understands that not all linking verbs from sentence pattern three can operate in sentence pattern six. "Become" and "remain" will operate in this pattern, and occasionally "seem," as "The boy seemed my friend." American English speakers might be more inclined to say, "The boy seemed to be my friend." This is a variation we shall get to. British English speakers use this construction more extensively. Readers of Alice in Wonderland might recall, "It sounded an excellent plan," "She grew a three inch maid."
9. Students might be asked to write sentences in the three patterns which grew from N. V. N. Perhaps some students could try to write anecdotes using only these patterns; others could write a certain number of sentence pattern seven examples. Put groups of the students' work on the board and have the class identify the pattern numbers.

F. Expansion of the N. V. N. N. pattern.

He gave me a ticket.
We elected him president.
The principal thought me a scholar.
Ray sang me a song.
The club chose him secretary.
I mailed her a check.
Nobody called Fred a genius.
He bought his dog a collar.
He sent me his address.
The council appointed him chairman.
We thought him a coward.
The student asked the teacher a question.
He told us his troubles.
Somebody showed him the way.

1. Here again we have an all-inclusive sentence pattern which must be broken up into simpler patterns. What is the all-inclusive pattern? (N. V. N. N.)
2. What was one method of making finer distinctions in the sentence in earlier patterns? (Distinguish the "be" verb from the other verbs.) Will that method work here? (No, no "be" verbs)

3. Here again let us look at the nouns following the verb. Do we find any noun after the verb which refers to the same person, place, or thing as the noun in front of the verb? (No) Look at the relationship of the two nouns following the verb in each sentence. What is the relationship? (In some of the sentences, the two nouns refer to the same person.)
4. Let us make an arrangement of these sentences on this basis.

(a. He gave me a ticket.
Ray sang me a song.
I mailed her a check.
He bought his dog a collar.
He sent me his address.
The student asked the teacher a question.
He told us his troubles.
Somebody showed him the way.

We elected him president.
The principal thought me a scholar.
The club chose him secretary.
Nobody called Fred a genius.
The council appointed him chairman.
We thought him a coward.)

5. In the first group of sentences we can identify the type of verb as the "give" verbs, for "give" is one of the most common verbs which operate in this type of sentence.
6. Now, let me give you some additional sentences to consider along with the ones in group 2.
    - a. The principal thought me brilliant.
    - b. The crowd considered him foolish.
    - c. Nobody called Fred dishonest.
    - d. We thought him handsome.

   What is the form class of the final word in each of the four sentences? (Adjective)
7. We may further divide the second group of sentences into a smaller group which includes verbs such as "consider," "think," "believe," "call," or "suppose." In this pattern we may substitute an adjective for the final noun.
8. That leaves us with sentences which use verbs such as "elect," "choose," "vote," "make," "appoint."
9. Formulate the basic sentence patterns.
    - a. N. V.--give N. N.
    - b. N. V.--consider N. N.
    - c. N. V.--elect N. N.

   Have the students make up a four column chart such as this:

Noun	Verb	Noun	Noun
The boy	fed	the dog	a bone.
The class	elected	Jane	president.

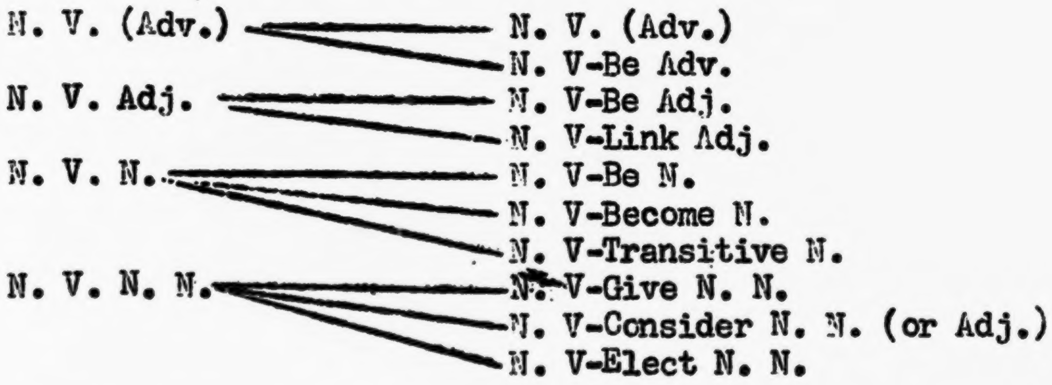
After they have filled in a certain number of sentences, have them distinguish among "give," "consider," and "elect" type verbs.

G. This is the final set of basic sentence patterns:

1.	N. V.--Intransitive (Adv.)		
2.	N. V.--Be (Adv.)		
3.	N. V.--Linking Adj.		
4.	N. V.--Be Adj.		
5.	N. V.--Transitive	Noun	
6.	N. V.--Become	Noun	
7.	N. V.--Be	Noun	
8.	N. V.--Give	Noun	Noun
9.	N. V.--Consider	Noun	Noun
10.	N. V.--Elect	Noun	Noun

H. Review exercises

The following five exercises utilize sentences from the eighth grade literature for the purpose of syntactic investigation. It might be well to keep in mind that the students first observed four syntactic patterns, and these four were the basis for ten more specific patterns.



In dealing with actual literature students will have experience in identifying patterns, observing the frequency with which patterns appear, expanding patterns, and modeling sentences of their own after literary examples.

The teacher may design similar exercises--oral or written--from materials his own students are reading. These exercises are not time-consuming; hopefully they will be rewarding in leading students to closer observation of their language and to more studied and skillful composition.

1.	N.	V.-Tr.	N.
a.	Once a certain soldier	developed	virtues.
b.	He	adopted	the important air of a herald in red and gold.
c.	To his attentive audience	drew	a loud and elaborate plan of a very brilliant campaign.
d.	He	took	the matter as an affront to him.
e.	He	had just put	a costly board floor in his house.

	N.	V.-Tr.	N.
f.	One	outlined in a peculiarly lucid manner	all the plans of the commanding general.
g.	A small window	shot	an oblique square of whiter light upon the cluttered floor.
h.	The smoke from the fire	at times neglected .. and wreathed........	the clay chimney the room.
i.	Tales of great movements	shook	the land.
j.	But his mother	had discouraged	him.
k.	The newspapers, the gossip of the village, his own picturings,	had aroused	him.
l.	Almost every day the newspapers	printed	accounts of a decisive victory.
m.	He	had prepared	certain sentences.
n.	But her words	destroyed	his plans.
o.	She	had doggedly peeled..... and addressed.......	potatoes him.
p.		"Allus choose	yer comp'ny."
q.	"Yeh	must allus remember	yer father, too, child,"
r.	A certain light-haired girl	had made	vivacious fun at his martial spirit.

(1) These examples of the N. V.-Tr. N. basic sentence pattern come from The Red Badge of Courage. Pick out the actual headwords which make up the pattern.

(2) Write a paragraph on a class-determined subject using only the N. V-Tr. N. pattern. Read the paragraphs aloud and discuss the quality of the paragraphs.

2. The following sentences are taken from the opening pages of Ernest Hemingway's The Old Man and the Sea. In the underlined portion of each sentence look for a sentence pattern, one of the ten basic sentence patterns you have observed in classroom examples.

a. The old man was thin and gaunt with deep wrinkles in the back of his neck.

b. But none of these scars were fresh.

c. Everything about him was old except his eyes and they were the same color as the sea and were cheerful and undefeated.

d. "Are his eyes that bad?" "He is almost blind."

e. "But you went turtle-ing for years off the Mosquito Coast and your eyes are good."

f. They were strange shoulders, still powerful although very old, and the neck was still strong too and the creases did not show so much when the old man was asleep and his head falled forward.

g. The old man's head was very old though and with his eyes closed there was no life in his face.

h. "He is very thoughtful for us."

i. "Your stew is excellent."

j. "The great Sisler's father was never poor and he, the father, was playing in the big leagues when he was my age."

k. "But he was rough and harsh-spoken and difficult when he was drinking."

l. "I think they are equal."

m. "You ought to go to bed now so that you will be fresh in the morning."

n. "I feel confident today."

o. But most of the boats were silent except for the dip of the oars.

p. He was very fond of flying fish as they were his principal friends on the ocean.

q. She is kind and very beautiful.

r. Then the sun was brighter and the glare came on the water and then, as it rose clear, the flat sea sent it back at his eyes so that it hurt sharply and he rowed without looking into it.

s. Most people are heartless about turtles because a turtle's heart will beat for hours after he has been cut up and butchered.

t. The sea was very dark and the light made prisms in the water.

u. The sun was hot now and the old man felt it on the back of his neck and felt the sweat trickle down his back as he rowed.

v. Now he was ready.

(1) What is the pattern you find in each underlined part of each sentence? (N. V. Adj.)

(2) In how many sentences is this the only pattern? (1, 2, 4, 8, 9, 14, 15, 17, 22)

(3) In the sentences you analyzed at the very beginning of the syntax unit you found single basic sentence patterns in single sentences. But were these single sentences typical of those you read in books? (No) Which you yourself speak or write? (No) Not at all. Later you will have an opportunity to analyze sentences of your own composition to observe the basic sentence patterns. But at this point what observation can you make about how Ernest Hemingway uses sentence patterns? (He often combines them in sentences.)

(4) Look at a composition of your own. Do you find many sentences which [illegible] include only one sentence pattern? How might you combine some of these single-pattern sentences? Does that improve those sentences or not? As you can see from these Hemingway samples, no author wants to exclude all single-pattern sentences.

3. Also from The Old Man and the Sea are the following sentences:

a. He was an old man who fished alone in a skiff in the Gulf Stream and he had gone eighty-four days now without taking a fish. (This is the opening sentence of the novel.)
b. "It was papa made me leave. I am a boy and I must obey him. (Manolin speaks)
c. "You bought me a beer," the old man said. "You are already a man."
d. "I am a strange old man."
e. "Eighty-five is a lucky number," the old man said.
f. The boy did not know whether yesterday's paper was a fiction too.
g. "Tomorrow is the eighty-fifth day."
h. "Anyone can be a fisherman in May."
i. "In the American it is the Yankees as I said," the old man said happily.
j. "They say his father was a fisherman."
k. "He was a great manager," the boy said. "My father thinks he was the greatest."
l. "Who is the greatest manager, really, Luque or Mike Gonzalez?"
m. "And the best fisherman is you." (Manolin speaks.)
n. "You're my alarm clock," the boy said.
"Age is my alarm clock," the old man said.
o. He was very fond of flying fish as they were his principal friends on the ocean.
p. He was rowing steadily and it was no effort for him since he kept well within his speed and the surface of the ocean was flat except for the occasional swirls of the current.
q. Everyday is a new day.
r. It is a big school of dolphin, he thought.
s. "The bird is a great help," the old man said.
t. "Albacore," he said aloud. "He'll make a beautiful bait."

(1) You have already discovered that mature writing, good stories, appealing novels, even newspaper and magazine articles use many sentences made up of different layers, or several different sentence patterns. Among the several patterns that can be found in these twenty sentences, which one pattern turns up in each sentence? (N. V. N.) Number your paper from 1

to 29. Write down the simple nouns and verbs which make up the one pattern found in each sentence. That is, write down the kernel sentences.

(2) Compare sentence 16 to the story of Joseph and his coat of many colors. What do you discover about the sentence patterns used in the two? How are the sentence patterns combined?

(3) Santiago is the subject of sentences 1 and 16. You compose two sentences modeled after these two sentences using Manolin as the person you are writing about. Model your own sentences exactly after the two originals. Use nouns where Hemingway has used nouns, verbs where he has used verbs, adjectives and adverbs in a similar manner. Also make your connections of sentence patterns in the same way.

4. This is a paragraph from Marjorie Kinnan Rawlings's *The Yearling.* (p. 23) Its sentences are being written out in individual lines so that you may easily analyze the syntax.

a. The bright streaks in the east thickened and blended.
b. A golden flush spread as high as the pines, and as he watched, the sun itself lifted.
c. A light wind stirred, as though the growling light had pushed it out of the restless east.
d. The sacking curtains eddied out into the room.
e. The breeze reached the bed and brushed him with the cool softness of clean fur.
f. He lay for a moment in torment between the luxury of his bed and the coming day.
g. Then he was out of his nest and standing on the deerskin rug, and his breeches were hanging handily, and his shirt right side out by good fortune, and he was in them, and dressed, and there was not any need of sleep, or anything but the day, and the smell of hot cakes in the kitchen.

*****

(1) What is the one sentence pattern consistently found in each of the sentences with the exception of sentence "e"? (N. V. [Adv.]).

(2) Can you observe what form class word may complete the pattern after the verb? What is it? (Adverb) Point out the patterns where this particular form class word does complete the pattern. (d--"out", g--"handily")

(3) A form class word does not follow the verb in sentence "f"; a function word does. What is that function word? (preposition) What structure does it introduce (Prepositional phrase) Find other examples of this structure in the paragraph.

(4) Turn to pages 22 and 23 of *The Yearling*, the beginning of Chapter 3. Find other examples of the pattern found so extensively in this paragraph. Make a list of these other examples. Observe whether the pattern adds a form class word or is immediately followed by the structure you discovered in answering question (3).

(5) Carefully compare sentence "g" with the passage from Genesis in Exercise 5 of the Form Classes Review Exercises, as well as this passage from Ernest Hemingway's The Old Man and the Sea:

> They sat on the Terrace and many of the fishermen made fun of the old man and he was not angry. Others, of the older fishermen, looked at him and were sad. But they did not show it and they spoke politely about the current steady good weather and of what they had seen.

How are all three passages similar? How are they different? Are you permitted to use many ands in your own student compositions? Why not?

(6) MODEL WRITING: Have the students write humorous or nonsense sentences, using the sentences above as models. For example, 'a' could be rendered: The gaudy wallflowers in the hall glowered and simpered. Or 'b' could become: A single man stood as straight as a truck, and as they ogled, the stag shelved himself.

5.

a. "Johnny," murmered Isannah, "tell us a story." Johnny Tremain, p. 20
b. "Johnny, tell us the story of your middle name." Johnny Tremain, p. 20
c. He decided he would buy himself some shoes. Johnny Tremain, p. 59
d. The princess granted him leave very willingly . . . Don Quixote, p. 185
e. "You gave him a way with the wild creatures.
You gave him a sort o' wisdom, made him 'nowin' and gentle."
The Yearling, p. 211
f. "And Lord, give him a few red-brids and mebbe a squirrel and a 'coon and a possum . . ." The Yearling, p. 212
g. "I've knet yeh eight pair of socks, Henry . . ." The Red Badge of Courage, p. 32
h. It made the boy sad. The Old Man and the Sea, p. 5
i. "Can you tell me the way?" The Once and Future King, p. 25
j. "Perhaps, if you were to give him this mouse here, politely, he might learn to know you better." The Once and Future King, p. 32
k. God gave him a fair strong son to rule after him. The Medieval Myths, p. 20
l. "Ask me any boon." The Medieval Myths, p. 25

(1) In your study of syntax you first figured out four basic sentence patterns which might cover all English sentences. What were these four patterns? Later you expanded these four to ten basic sentence patterns. From the N. V. N. N. pattern you derived three separate patterns. List those three across the top of a sheet of paper. Now, under each specific N. V. N. N. heading arrange the above sentences under the patterns to which they belong.

(2) Eight of the above sentences come from what kind of prose? (Dialogue or conversation) Is this N. V. N. N. pattern found more commonly in that kind of prose, than in other kinds of prose? Look carefully in the novel you are now reading to find N. V. N. N. sentences. List the examples that are found. How many of these examples come from that kind of prose?

(3) The N. V. N. N. pattern is an extension of the N. V.-Tr. N. pattern. In Exercise 1 of the Basic Sentence Patterns Review Exercises, try to rewrite the eighteen sentences in the N. V. N. N. pattern.

N. V-give N. N.	N. V.-consider N. N. (Adj.)	N. V.-elect N. N.
tell buy granted give "knet" ask	It made the boy sad.	No examples Can the student find some?

6. It will take keen observations for the student to pick out the basic sentence patterns from the massive expansions and transformations of the artistic writer. This exercise might well be done in groups, allowing the more observant students to tackle one paragraph on their own.

This exercise should encourage students to observe that the basic sentence patterns are indeed basic to our language, that these patterns can be located by searching out the headwords in involved language. It should also help students to come to a realization of how writers--even they themselves as writers--can embellish the sentence patterns and achieve meaningful and artistic prose.

Number 5 of the Form Classes Review Exercises might be used in connection with this particular exercise. Students could figure out sentence patterns in those six passages and see how they compare with the results of this Exercise.

Here are a collection of paragraphs from the eighth grade literature in which you may identify basic sentence patterns.

a. He walked down Fish Street to Ann, crossed Dock Square with Faneuil Hall on his left. It was market day. He picked his way about the farm carts, the piles of whitish green cabbages, orange pumpkins, country cheeses--big as a baby's head. Some of the market folk, men and women, children and black slaves, called to him, seeing in the shabby, proud boy a possible rich customer, but others counted the pats of butter on their tables after he had passed by. Johnny Tremain, p. 53

b. Now he turned his head toward the mountains of the east, the Babilans, and they were jolly mountains, with hill ranches in their creases, and with pine trees on the crests. People lived there, and battles had been fought against the Mexicans on the slopes. He looked back for an instant at the great ones and shivered a little at the contrast. The foothill cup of the home ranch below him was sunny and safe. The house gleamed with white light and the barn was brown and warm. The red cows on the farther hill ate their way slowly toward the north. Even the dark cypress tree by the bunkhouse was usual and safe. The chickens scratched about in the dust of the farmyard with quick waltzing steps. The Red Pony, p. 39

c. "Look! I have been on a Quest! I was shot at with three arrows. They had black and yellow stripes. The owl is called Archimedes. I saw King Pellinore. This is my tutor, Merlyn. I went on a Quest for him. He was after the Questing Beast. I mean King Pellinore. It was terrible in the forest. Merlyn made the plates wash up. Hallo, Hob. Look, we have got Cully." Once and Future King, p. 37

d. The mustard-pot got up and walked over to his plate on thin silver legs that waddled like the owl's. Then it uncurled its handles and one handle lifted its lid with exaggerated courtesy while the other helped him to a generous spoonful. Once and Future King, p. 33

e. A column of smoke rose thin and straight from the cabin chimney. The smoke was blue where it left the red of the clay. It trailed into the blue of the April sky and was no longer blue but gray. The boy Jody watched it, speculating. The fire on the kitchen hearth was dying down. His mother was hanging up pots and pans after the noon dinner. The day was Friday. She would sweep the floor with a broom of ti-ti and after that, if he were lucky, she would scrub it with the corn shucks scrub. If she scrubbed the floor she would not miss him until he had reached the Glen. He stood a minute, balancing the hoe on his shoulder. The Yearling, p. 1

In each paragraph:

(1) Figure out the basic sentence patterns.
(2) Count the numbers of different sentence patterns.
(3) How many sentences include more than one sentence pattern?
(4) Compare your figures with the figures for other paragraphs in number 5 of the Form Classes Review Exercises.
(5) Do you think the proportions for your paragraph would be true for the whole book if you were to count the patterns for the whole book? Why or why not?

VI. Subject and Predicate

The concept of subject and predicate will be very easily taught in reference to the unexpanded basic sentence patterns. The teacher may point out that the basic sentence patterns may be divided into two parts, the subject and the predicate. He may then ask which pattern may be divided consistently at only one point. The answer is the N. V. (Adv.) pattern in which the only point for consistent division appears between the noun and the verb. A division may be made at this point in all the basic sentence patterns, between the first noun and verb. The students may break sentences written previously according to the basic patterns into subject and predicate groups. At this point the teacher might illustrate how the inflectio of common tense verbs changes as the inflection of the noun in the subject position changes:

The flower grows.
The flowers grow.

Obviously the analysis of subject and predicate groups in the basic sentence patterns will be a simple matter. When the sentence is expanded through the use of subordinate and relative clauses, prepositional phrases, and verbals, or when the basic sentence pattern appears as a transformation, the problem of analysis will be much more difficult. Therefore, after each of the lessons on transformation, the problem of analysis will be much more difficult. Therefore, after each of the lessons on transformations, clauses, prepositional phrases, and verbals it will be advisable to refer to subject and predicate again.

With a good class the teacher might wish to include transitional terminology over and above that included here. He can identify direct object, indirect object, predicate nominative, and predicate adjective simply by their positions in the basic sentence patterns.

VII. Prepositional Phrases

A. Introductory exercises

1. The grouse are in that thick, brown bush.
2. The man down the street is Irish.
3. The people on that white bench are emigrants from Europe.
4. We ran along the street and over the bridge.
5. The boys seem angry at the police officer on the corner.
6. Jane became the most popular cheerleader in her class.
7. During the morning the hunters shot three ducks near the lake.
8. John gave his mother presents of flowers and candy on her birthday.
9. Since that time the boys have considered him foolish.
10. Before ten o'clock on that frosty evening the soldiers made Mac the leader of that dangerous expedition.

(1) What words in the sentences comprise the basic sentence patterns? (Underline those)
(2) What structures other than determiners remain? (Auxiliaries and prepositions)
(3) Make a list of those structures. (in, down, on, from, over, etc.)
(4) What do these structures have in common? (a. Each structure begins with a word such as "in," "on," "down," "on," "from," "along," "over," etc.; b. The final word in each structure is a noun; c. The noun may be preceded by determiners and modifiers.)
(5) These structures are called prepositional phrases.
(6) Is it possible to shift the position of the prepositional phrases in the sample sentences? (Establish the characteristic of mobility. Recall adverb)
(7) In sentence 5 is it possible to shift the position of "on the corner"? Why not? a."on the corner" tells about "police officer"; b. It is not possible to move the phrase without changing the meaning of the sentence; c. It is part of the larger phrase "at the police officer on the corner.")

B. Writing Prepositional Phrases

Ask students to contribute prepositional phrases to expand sentence patterns as in the following.

PATTERN ONE N. V. Adv.
1. The oriole sings sweetly.
2. The oriole in our apple tree sings sweetly.
3. The oriole sings in the apple tree.

In pattern TWO the prepositional phrase may be used in the same manner as it is in pattern one.

PATTERN TWO N. be Adv.
1. The girl is here.

2. The girl in the quartet is here.
3. The girl is in the quartet.

In sentence three the prepositional phrase takes the place of the adverb here.

PATTERN THREE N. V. Adj.
1. The fruit tastes good.
2. The fruit in the salad tastes good.
3. The fruit tastes good in the salad.

PATTERN FOUR N. be Adj.
1. The boy was ill.
2. The boy in the bus was ill.
3. The boy was ill in the bus.

PATTERN FIVE N. V.-t N.
1. The boy shot the squirrel.
2. The boy with the rifle shot the squirrel.
3. The boy shot the squirrel with the rifle.

PATTERN SIX N. V.-b N.
1. The child became a woman.
2. The child in the movie became a woman.
3. The child became a woman in the movies.

PATTERN SEVEN N. be N.
1. Richard is my brother.
2. Richard, with the flashing smile, is my brother.
3. Richard is my brother with the flashing smile.

PATTERN EIGHT N. V-g N. N.
1. The girl gave her mother some flowers.
2. The girl at the hospital gave her mother some flowers.
3. The girl gave her mother some flowers at the hospital.

Observe that the meaning is changed with the moving of the prepositional phrase.

PATTERN NINE N. V-c N. N.
1. The conductor considered me foolish.
2. The conductor in the street car considered me foolish.
3. The conductor considered me foolish in the street car.

PATTERN TEN N. V-e N. N.
1. The club elected Jane secretary.
2. The club with the honors elected Jane secretary.
3. The club elected Jane secretary with the honors.

As in pattern eight, the meaning is changed in pattern ten.

VIII. Transformations

In thinking of sentence patterns, many English speakers might feel that

Noun - Verb	(Patterns 1 and 4
Noun - Verb - Noun	Patterns 3, 6, and 7
Noun - Verb - Adjective	Patterns 2 and 5
Noun - Verb - Noun - Noun	Patterns 8, 9, and 10)

would do the job sufficiently. However, with closer observation, it would seem more logical to work with the kernels of the ten basic sentence patterns and to proceed to describe all English syntax in terms of transformation, a construction deriving from a basic sentence or a part of a basic sentence. (Any construction that is not part of the basic sentences of English is a transformation.)

A. Monday was here. The girls were restless. The boys were real students. They studied diligently. They seemed ambitious. Mark looked studious. The teacher questioned them. She gave Mark an A. All considered him a genius. The entire class elected him their chairman.

Linguists say that by the time you were six you had mastered the English language--not all the vocabulary of course. You could put words together in logical word order, that is syntax, and you will never make mistakes in this putting together of words. The ten sentence patterns you have just learned are really all you ever had to learn. But, look at this passage. Perhaps a young child might use this simplified English, but any mature speaker would not. In order to fully use our language we take these basic patterns and transform them.

B. There was a boy here.
Here is my busy brother.
There are a few cookies in the jar.

1. Do any of these three sentences fit into any one of the ten basic sentence patterns? (The student might have to be informed that "there" and "here" are simple structure words. No, there are no patterns into which these sentences would fit.)

2. Could you, by moving the words around, observe a basic pattern of words in these sentences? (A boy was here. My busy brother is here. or My brother is busy. A few cookies are in the jar.)

3. The "there" construction is the simplest transformation to make. Think how often you start a sentence with the word "there" or the word "here." Now you are able to describe just exactly what you have been doing with your language: you have been using a transformation of one of the ten basic sentence patterns when you start out a sentence with "there" or "here."

4. I am sure you can already imagine some transformations that we shall soon observe, for you know better than anyone else just what you do with your language.

C.

1st Set	2nd Set
The bus hit the girl.	Does Joe like chocolate chip cookies?
The girl was hit by the bus.	Joe likes chocolate chip cookies.
Did the bus hit the girl?	Chocolate chip cookies are liked by Joe.
The bus did not hit the girl.	Joe does not like chocolate chip cookies.

1. Here in the first set of sentences, are all kinds of transformations. Look at the first group of sentences and mark out the parts of speech.

   (D) N V (D) N
   (D) N (Aux.) V (Structure word) (D) N
   (Aux.) (D) N V (D) N
   (D) N (Aux.) (Structure word) V (D) N

2. Which one of these sentences is one of the ten basic sentence patterns? (The first)

3. Are the other three basic sentence patterns? (No)

4. What has been introduced into sentence 2 which was not in sentence 1? (An auxiliary verb and a preposition)

5. In sentence 2, does the subject remain the same? (No. What is the subject in sentence 1? in sentence 2?)

6. Oftentimes we find this transformation of an English sentence and we call it passive voice. Why might a person say or write sentence two in preference to sentence one? (To emphasize or to provide variety)

7. How would you describe this transformation to the passive voice? (Make the second noun the subject, add a form of "be," correct the form of the verb, and use "by" with the original subject.)

8. In this first set of sentences you have compared the first two examples and found that both are really forms of (D) N V (D) N. Now look at the third sentence. How could you fit this sentence into this sentence pattern? (Simply take out the auxiliary verb)

10. Obviously, when you ask questions you are going to transform your sentence, except when you depend upon the tone of your voice. You could very easily say, "The bus hit the girl?" but chances are you would use a transformation.

11. The fourth example above is the closest to the basic sentence pattern. Can you say "The bus not hit the girl"? In order to make negative statements, what must you do to your basic sentence pattern? (Add an auxiliary, plus your negative word.)

12. Go through the second set of sentences as you did the first. To summarize, have the students recall the four possible transformations of the ten sentence patterns (each transformation is not possible with each sentence pattern) The following chart shows which transformations are possible:

		There	Passive	Question	Negative
1. N V--Intr.	(Adv.)	X		X	X
2. N V--Be	(Adv.)	X		X	X
3. N V--Link	Adj.	X		X	X
4. N V--Be	Adj.	X		X	X
5. N V--Tr.	Noun		X	X	X
6. N V--Become	Noun			X	X
7. N V--Be	Noun			X	X
8. N V--Give	Noun Noun		2 Passive	X	X
9. N V--Consider	Noun Noun		1 Passive	X	X
10. N V--Elect	Noun Noun		1 Passive	X	X

IX. Headwords

A. Introduction

Paul Roberts defines headword simply as "that which is modified." It is convenient for the student to think of headwords as those which can be modified and expanded in a multitude of ways. The nouns, verbs, adjectives, and adverbs of the basic sentence patterns may all be expanded into what Nelson Francis calls "structures of modification." "The two components of a structure of modification are a head and a modifier, whose meaning serves to broaden, qualify, select, change, describe, or in some other way affect the meaning of the head. In the examples--hungry people, home town, easily superior--both head and modifier are single words. But this is by no means always the case. Both the head and the modifier . . . may be structures of more or less complexity. Grammatical organization, as we have already observed, is a complex of many structural layers. Each of the four parts of speech, and certain function words as well, may serve as the head of a structure of modification. . . The reader must clear his mind of the notion that it is somehow more 'correct' for an adjective to modify a noun, for example, than it is for a noun to modify a noun, or for an adjective to modify a verb. These notions are derived from the grammar of other languages than English, and are not relevant to the grammar of present-day English."

You might be interested that Francis goes on to delineate structures of predication, complementation, and coordination (Chapter 6, "Syntactic Structures," *The Structure of American English*).

MODEL WRITING: Dictate the long quotation from Nelson Francis which appears above to the class and then have it, individually or as a group, do a parody of the quotation, using the original syntax but changing the meaning to suit themselves. You might start them with: The two components of a date are a boy and a girl, whose meeting serves to broaden, ... What develops may surprise you and the students themselves!

B.

Column 1	Column 2
prince	fair Seville's noble prince, Ruler of all the land that lay around that city
grove	a deep grove of olive trees
throne	his golden throne
terrace	a splendid terrace of blue stone
hand	my good right hand
mules	ten white mules, whiter than milk, the gift of a rich king

Column 1	Column 2
council	the fateful council fraught with woe for France
town	many a strong-walled town
tunic	silken tunic*

1. In your study of definition, you have found that classification is a trustworthy device for explaining meanings. Is prince a larger classification or class than fair Seville's noble prince, Ruler of all the land that lay around that city? (No) Why or why not? Of these two columns above, which is the larger class?

2. In your study of semantics you have found, or soon will find, that you must often make important distinctions between specific words and general words. You have the words in column 1 above repeated in column 2. Which column of words is nore specific? (Column 2) Why is it more specific? As a further exercise in semantics, list more general words for each of the words in column 1.

3. Now you are starting an investigation of headwords. The underlined words in column 2 can be considered headwords. What form class would these head words be? As you go through the following exercises, you will observe what form class words can serve as headwords, what goes with those words to make them headwords, and what qualities these headword structures add to the literature you read and the composition you write.

C.

1. a.

book
the book
the red book
the big red book
the big red book on the desk

b.

house
our house
our small house
our small brown house
our small brown rambling house
our small brown rambling stone house
our small brown rambling stone house in the country
our small brown rambling stone house in the country, which we inherited

c.

doctor
that doctor
that skillful doctor
that very skillful doctor
that very skillful woman doctor
that very skillful woman doctor, knowledgable and experienced
that very skillful woman doctor, knowledgable and experienced in surgery.

---

* These structures of modification are from The Song of Roland.

d. Smith
Vice-President Smith
Vice-President Smith, recently elected
young Vice-President Smith, recently elected
young Vice-President Smith, recently elected by a large majority
young and able Vice-President Smith, recently elected by a large majority

e. rancher
every rancher
every cattle-raising rancher
every industrious cattle-raising rancher
every industrious cattle-raising Nebraska rancher
every industrious cattle-raising Nebraska rancher who wants a good herd

f. salesman
a salesman
a car salesman
a car salesman who is forceful
a car salesman at Mitford's who is forceful

g. children
Fred's children
Fred's three children
Fred's three school children

2. a. walk
walk out
walk out in the rain
walk out in the rain at night
do walk out in the rain at night
do not walk out in the rain at night
generally do not walk out in the rain at night
gmnerally do not walk out in the rain at night when alone

b. worked
have worked
have worked successfully
will have worked successfully
will also have worked successfully
will also have worked very successfully
will also have workdd very successfully whenever it has been tried

c. moved
moved ahead
moved ahead very slowly
moved ahead very slowly today
can be moved ahead very slowly today
can never be moved ahead very slowly today

3. a. friendly
too friendly
almost too friendly
almost too friendly toward everybody
almost too friandly toward everybody who lives in our bloc

b.
famous
exceedingly famous
exceedingly famous in Europe

c.
blue
dark blue
very dark blue

d.
hopeful
somewhat hopeful
somewhat hopeful of success

4. a.
easily
amazingly easily
as amazingly easily as a senior
almost as amazingly easily as a senior
almost as amazingly easily as a senior in a freshman class

b.
away
away now
away now for a week

c.
outside
actually outside
actually outside in the heat

(1) Marching down the center of Exercise C are headwords. What form class are the headwords under sample 1? (Nouns) Are there limitless possibilities? (Practically) If you wanted to put the word quite in the last line of sample 1b, where would it go? (In front of small) What word in sample 1c would compare to quite? (Very) What form class would you call woman, Vice-President, Nebraska, car, and school? (Nouns) What is their position? (Attributive position)

(2) Two of the headwords in sample 2 end in a verb inflection; are they verbs and is the third word a verb? (Yes) What kind of function words might you expect to find clustering around a verb? (Verb determiners) What kind of form class words might you expect to find clustering around a verb? (Adverbs) Could you put the word too immediately in front of any of the verb headwords? (2a and 2b)

(3) What form class are the sample 3 headwords? (Adjectives) In your study of form classes you learned that a certain function word could come in front of the adjective. What is it? (Qualifier) Do you find any examples of these function words in group 3? What are they? (too, very, somewhat) How could you expand the headword blue in 3c?

(4) Adverbs are the headwords in group 4. What other words can you identify in this group?

(5) Compose 17 sentences incorporating these expanded structures of modification. Use the last line in each example and build a good sentence around it. When you finish identify the sentence patterns of your 17 sentences.

D.

1. Write down a noun.
   Below that write the same noun, putting a noun determiner in front of it.
   Carry these two words to the third line, inserting an adjective in the attributive position.
   Put a noun in the attributive position into the correct spot--the grammatical spot.
   Add a prepositional phrase.

2. Write down an adjective.
   Put a qualifier in front of it.
   Compound the adjective.
   Add a prepositional phrase after it.
   Put this structure of modification into a N. V. Adj. sentence.

3. Write down a verb with an -ed inflection.
   Put a verb determiner in front of it.
   Put an adverb in front of that.
   Put the negative not in the verb cluster.
   Put an adverb after the inflected verb.
   Put a prepositional phrase after that.

4. Write down a noun cluster in the following pattern:

   Noun-determiner, qualifier, adjective, coordinator, adjective, noun in the attributive position, noun headword, -ing verbal, prepositional phrase.

5. Using the noun cluster from number four as the first noun, compose a N. V-Tr. N. sentence.

E.

behind a long gray wall	behind a wall, long and gray,
my first and last battle	my battle, first and last,
a heavy and sad hand	a hand, heavy and sad,
a small, thrillful boy	a boy, small and thrillful,
the smoke-infested fields	the fields, smoke infested,
a hatless general	a general, hatless,

from Red Badge of Courage

1. In the left hand collection of noun clusters, what kind of words go along with the nouns? (Adjectives) Where do they position in regard to the nouns? (Attributive position)

2. In the right hand column, you find phrases with the same words. How do the form class words position in these phrases? (Adjectives in appositive position)

3. Read the phrases aloud. Do the phrases in the right hand column mean exactly the same as their counterparts in the left hand column? Give a good reason to support your answer.

F. Use the words in the left hand column as noun and verb headwords. Because of the limitation of space expand these headwords with no more than three words, modeling them after the earlier examples of headwords. You may add inflections to the headwords.

	Noun Headword	Verb Headword
horse	their favorite riding horse	has been horsing around
scout		
seat		
dream		
mask		
shovel		
play		
snow		
drive		
envelope		
contrast		
pass		
table		
name		

All the words in the left hand column are potentially capable of the "functional shift; they can function in at least two form classes without adding derivational affixes.

G. 1. "It was a cold wet evening, such as may happen even toward the end of August, and the Wart did not know how to bear himself indoors." (The Once and Future King, p. 73) Pick out a noun headword. Now pick out its noun cluster, that is, the words which expand the noun headword. (a cold wet evening)

2. "The clouds built up so black and high and thick that you could no longer go around them or over them." (God Is My Co-Pilot, p. 85) Identify a verb cluster. (built up, could no longer go around them or over them) What form class word most often fits into a verb cluster? (Adverb) Are there any examples of that form class in this sentence? What are they? (Up and longer)

3. "But I was more intelligent than he was." (The Old Man and the Sea, p. 103) What is an adjective in this sentence? (Intelligent) Pick out the adjective cluster. (more intelligent than he was)

4. "The fugitives, indeed, offered no very attractive spectacle, with their shaggy names and the tattered remnants of their last winter's hair covering their backs in irregular shreds and patches and flying off in the wind as they ran." (The Oregon Trail, p. 65) What is the noun cluster with the headword spectacle? (no very attractive spectacle) the headword remnants? (the tattered remnants) hair? (their last winter's hair)

5. "Jody's heart leaped like a rabbit jumping."
"Buck and Mill-Wheel turned away with torturing deliberation to the lot to saddle their horses."
"He must certainly have only now awakened in the morning."

"Jody laughed boisterously."

In each of these sentences from The Yearling pick out a verb. Now pick out their verb clusters.

6. "Gilla lifted her pointed, translucent little face." (Johnny Tremain, p. 70) What is the only cluster in this sentence and what is its headword? (her pointed, translucent little face)

7. "And she was always telling Gilla that she needn't jump so fast when the bell rang for her." (Johnny Tremain, p. 95) What are the clusters that go with the three verbs in this sentence?

8. "The antelope were very numerous; and as they are always bold when in the neighborhood of buffalo, they would approach to look at me, gaze intently with their great eyes, then suddenly leap aside, and stretch lightly away over the prairie, as swiftly as a race-horse." (The Oregon Trail, p. 67) In the last part of this sentence you will find several verbs. Starting with the words, "they would approach," pick out the verbs, as well as their verb clusters.

I. Subordination

A. 1. We started early, because we had a long way to go.
2. The house, which was built last year, stands on the corner.
3. My brother shouted when he fell into the water.
4. A red sports car, whose driver was nowhere in sight, was parked by the side of the road.
5. The teacher reminded me of a story that I read a long time ago.
6. Although our pitcher has a sore arm, he will start the game.
7. Dad brushed away the ashes before he lighted the logs in the fireplace.
8. The firemen, who hurried down theladders, could rest for a moment.
9. If the mountain road is snowbound, we'll have to find a motel.

1. What sentence patterns can you find in these sentences?

2. How many sentence patterns do you find in each sentence? (Two)

3. What kind of a word do you find in one sentence pattern in each sentence? (Structure word; subordinators. They are "because," "which," "when," "whose," "that," "although," "before," "who," "if")

4. Any sentence pattern preceded by such a word is called a subordinate clause. When one of these words is used, the pattern is no longer a sentence, but a part of a sentence. It must be accompanied by a second sentence pattern without a subordinator.

B. Writing subordinate clauses:

1.

	Noun	Verb	(Word)^n,	Noun	Verb	(Word)^n
Because						
When						
That						
Although						
Before						
If						

2. Students can be asked to fill in this kind of a chart to see how two sentence patterns operate in one sentence. After they have completed this chart, shift the subordinate clause to the end of the sentende, or make slots for a subordinate clause between the noun and the verb of the independent clause.

3. The exercises will simply make the student aware that there are subordinate clauses, and that generally they do have mobility, just as the adverb did, and as many prepositional phrases do.

C. Adverbial clauses

1. If it is good, the play will be produced on Broadway.
2. He said it because he was angry.
3. When the rain stopped, they finished the second game of their double-header.
4. Jane was baby-sitting before she went to the party.
5. Unless you ask for help, you will be left alone.
6. Homer waited until the train was actually due to arrive.
7. He did his homework while he waited for the bus.
8. He ran as he never ran before.
9. He will play the violin after the dishes are finished.
10. Margaret saw him although she did not recognize him.

1. How are the sentences alike? (Each contains 2 sentence patterns)

2. What key words introduce the subordinate clauses? (If, because, when, before, unless, etc.)

3. How are the clauses alike? (Point out the sentence patterns)

4. Is there a definite place for each clause? Could the dependent clauses be moved around in the sentence? Comment on the effect of each shift.

5. Subbordinating conjunctions are: after, although, as, as though, as if, for, if , inasmuch as, in case, in order that, in that, lest, like, now that, once. provided that, because, before, even though, even if, since, so, so that, that, though, unless, until, when, where, whereas, whether . . . or not, while.

D. Relative clauses

Relative clauses are signaled by the following words: "who," "whom," "which," and "that," when theyoccur in place of nouns, and "whose," when it takes the place of a determiner. In the following sentences see if you can determine the adjectives, modifying phrases of nouns, and relative clauses. Discuss the sentences, orally, in this exercise.

I

1. The hungry man went into the cafe.
2. The man in the red shirt went into the cafe.
3. The man, who wore a red shirt, went into the cafe.

II

1. The man gave the stubborn door a push.
2. The boy gave the door of the house a push.
3. The dog pushed open the door, which had been stuck.

III

1. The curtain, soiled and torn, blew against the screen.
2. The curtain, like a broken wing, blew against the screen.
3. The curtain, which flapped against the screen, was ragged and rusty.

1. What noun is being discussed in the first three sentences? (Man)
2. What word says something about it in the first sentence? (hungry)
3. What words say something about it in the second sentence? In the third? (The phrase and the clause)
4. What do you find different in comparing the first and second sentences?
5. What do you find different about the second and third?
6. How does the third sentence differ from the first?
7. Discuss the next two groups of sentences in the same manner. When the students have established the essential differences between the adjectives, phrases and clauses, proceed to the next question.
8. In the first nine sentences what words signalled the relative clauses?
9. What conclusion can you draw as to why a writer might use a relative clause rather than a single adjective or modifying phrase?
10. Make up three sentences patterned after the groups above, using adjectives, modifying phrases, and relative clauses. Use as signals: "who," "whom," "which," or "that." You may use "whose" also if you make it a determiner. Remember that these signals modify nouns.

The students may complete the exercise and then exchange papers. There may be a class discussion on their observations.

E. Creative Writing Emphasizing Adjectives, Modifying Phrases, and Relative Clauses

For this lesson each student should be asked to bring a picture of a scene or person that represents a mood. The pictures should be posted around the room so they may be studied easily. Each picture should be numbered.

1. Study the pictures carefully and write an adjective that reflects the mood of each one.
2. The students will then discuss the words they have used to describe the pictures, beginning with number one and working through them consecutively.
3. Then the teacher will ask them to choose the picture they like best and write a paragraph about it, using at least one relative clause. They should also be aware of descriptive words and phrases. (The paragraphs should be written in class)
4. After the teacher has corrected the paragraphs, he may choose certain ones to be read and discussed. They could then be posted with the pictures on a bulletin board.

F. Noun Clauses

I

1. I did not know ________.
2. The truth is ________.
3. ________ pleased his father.
4. We could see the satellite from ___________.
5. ___________ was not known.

II

1. that he lived in Nebraska
2. how the boy acted
3. where we stood
4. that we did not study
5. when they arrived

(1) What sentence patterns do you find in the sentences in Group I?
(2) What part is missing in each sentence?
(3) Fill in these noun positions with one of the subject-predicate word groups in Group II to make sense. Write the pattern for each sentence.
(4) What words introduce these noun clauses into the sentence patterns of Group I?
(5) Name other words that introduce noun clauses. (what, who, whom, which, when where, why, how, that)
(6) Write noun clauses for the noun position in the following:
    1. N V (N)
    2. N be (N)
    3. (N) be Adj.
    4. (N) V-tr. N
    5. (N) be Adv.

G. He looked up at the sky and then out to his fish. He looked at the sun carefully. It is not much more than noon. And the trade wind is rising. The lines all mean nothing now. The boy and I will splice them when we are home.

1. In this short paragraph from The Old Man and the Sea you find one example of subordination. What is it? (when we are home)
2. Rewrite this paragraph using as much subordination as you possibly can.
3. Read Ernest Hemingway's paragraph and your own version aloud. How have meanings been changed in your version? Has anything else changed? What?

H. For further exercise, the teacher may make use of these following materials:

1. Write sentences beginning with these words:
    (1) John watched the plane as it
    (2) Those boys will certainly get in trouble if they
    (3) He's only popular because he
    (4) I don't think we'll have a war unless the
    (5) Do you think you can wait until it
2. Fill in the slots:
    (1) When N V $(\text{words})^n$, it will probably end.
    (2) Since N V $(\text{words})^n$, they will not come.
    (3) As long as N V $(\text{words})^n$, no one can hurt you.

(4) Although N V (words), N V (words)^n.
(5) While N V (words)^n, N V (words)^n.

3. Work out the formulas for the sample sentences and fill in the patterns with your own words.
(1) When N V (words)^n, the Adj. N V as N V and V.
(2) There N V (words)^n, although N V N less/more than N V (words)^n.
(3) Even though N V (words)^n, N V N that V (words)^n.
(4) If N V what V (words)^n, N V (words)^n.
(5) During N when N V, N V N
(6) As N V, both N and N V and N V (words)^n.
(7) Although N V N (words)^n, N V that unless N V N (words)^n, N V (words)^n.
(8) N and N V, because N V N, N, and N, which V N (words)^n.
(9) N V N because N V N, but N, although N V N, V N (words)^n.
(10) Until N V, N V N, but when N V, the N which N (Aux.) V, and N V N.

4. Students read one another's compositions and pick out subordinate clauses.

5. Groups decide on composition having the most effectively used subordinate clauses.

6. Underline clauses in the following examples:

(1) When the characters begin to have new feelings the love theme expands as their loves change and deepen, tempered by time and experience.
(2) There is comedy in the unrequited love of Malvolio for Olivia, although he loves the position more than he loves her.
(3) Even though he is noble, the tragic hero must have the flaw of character that will lead to his downfall.
(4) If Aristotle could hear what has been done to his third element, language, I think he would turn over in his grave.
(5) During the Renaissance, when classical learning was revived, men re-discovered Aristotle's works.
(6) As each play progresses, both Oedipus and Jones lose confidence and their hard outer shells are worn away, leaving only their true characters.
(7) Although he stretches the story to fantastic extremes, Mr. Huxley believes that unless we destroy our civilization in a nuclear war, this "utopia" will be upon us in a few short generations.
(8) In Brave New World, God and Good have been abolished, because they present sin, guilt, and self-discipline, which are all menaces to stability.
(9) Amelia marries George Osborne because she loves him, but Becky, although she was slightly fond of Rawdon Crawley marries him for a more important thing--his money.
(10) Until the two marriages take place, Becky conceals her true nature very well, but when the real reason for her marriage is disclosed, the shell in which she dwelt for a few months shatters, and she once again becomes herself.

7. Relative Clauses in President Kennedy's Inaugural Address
(1) And yet the same revolutionary beliefs for which our forebearers fought are still at issue around the globe--the belief that the rights of man come not from the generosity of the state but from the hand of God.
(2) To those old allies whose cultural and spiritual origins we share, we pledge the loyalty of faithful friends.
(3) To those new states whom we welcome to the ranks of the free, we pledge our word that one form of colonial control shall not have passed away merely to be replaced by a far more iron-bound tyranny.

(4) If a free society cannot help the many who are poor, it cannot save the few who are rich.
(5) And if a beachhead of cooperation may push back the jungles of suspicion, let both sides join in creating a new endeavor--not a new balance of power, but a new world of law, where the strong are just and the weak secure and the peace preserved.
(6) The graves of young Americans who answered the call to service surround the globe.
(7) Can we forge against these enemies a grand and global alliance, north and south, east and west, that can assure a more fruitful life for all mankind?
(8) The energy, the faith, the devotion which we bring to this endeavor will light our country and all who serve it--and the glow from that fire can truly light the world.
(9) Finally, whether you are citizens of America or citizens of the world, ask of us here the same high standards of strength and sacrifice which we ask of you.

8. The signals of what we call relative clauses are "who," "whom," "whose," "that," and "which." In one of the examples "where" is used as a signal. Find the clauses that begin with those signals.
(1) Where do the signals occur?
(2) To what word to they refer?

9. Write sentences beginning with the following words:
(1) The man who
(2) The man whom I saw
(3) The building that
(4) The dog whose
(5) The tractor which
(6) The mountain where

10. Write 3 related sentences without using any relative clause signal. Some students write theirs on the board. Other students can expand these or join them by inserting signals and filling out clauses.

11. Paragraph composition including at least 4 relative clause signals.

VI. Verbals

In presenting the study of verbals it is to be noted that the terms "participle" and "gerund" are not presented to the student. The participle, gerund, and infinitive are simply called "verbals" which are used in various positions in the sentence—positions we have established as those of noun and adjective and in some instances adverb.

Gerunds and participles ending in -ing are to be presented in the first lesson. It is suggested that the student be given a mimeograph sheet containing sample sets of sentences. Begin with the first set of sentences and work through the questions in section I below. Then proceed to the other sets in the same fashion. After the questions in connection with the sets are completed to your satisfaction, proceed to the last two exercises.

A. The -ing Verbal

Sets of Sentences

I

1. Our chief job is learning.
2. Learning is fun.
3. The fun is in the learning.
4. Bad habits can reduce learning.
5. Some students give learning no consideration.
6. Our class elected learning its favorite activity.
7. Others may consider learning a bore.
8. A little learning may prove dangerous.
9. The learning process may seem difficult.
10. Learning may become a necessity.
11. The learning process works slowly.

II

1. The dog's barking was silenced.
2. The dog enjoyed barking.
3. We considered barking a nuisance.
4. Fido's one bad habit is barking.
5. The habit of barking must be stopped.
6. Perhaps we should get a barking permit.
7. The painting's worth is unknown.
8. His paintings are worthless.

III

1. A singing girl is a beautiful thing.
2. The painting crew gave us a hand.
3. A clever person gives a cringing dog careful attention.
4. Nobody considers his teacher a babbling idiot.
5. Our prank seemed a rollicking idea.
6. A girl singing a hymn is a beautiful thing.
7. The crew painting the building gave us a hand.
8. A clever person gives a dog cringing in fear careful attention.
9. Nobody considers his teacher an idiot babbling nonsense ceaselessly.
10. Our prank seemed an idea rollicking with humorous possibilities.

IV

1. Crying, the girl was an appealing human being.
2. The crying girl was an appealing human being.
3. The girl crying was an appealing human being.

4. Sensing trouble ahead, the scout led us to cover.
5. The scout, sensing trouble ahead, led us to cover.
6. The scout led us to cover, sensing trouble ahead.

7. Sensing trouble ahead, the scout reported to the leader of the train.
8. The scout, sensing trouble ahead, reported to the leader of the train.
9. The scout reported to the leader of the train, sensing trouble ahead.

10. Swimming in Lake Michigan, the boys spotted a corpse.
11. The boys, swimming in Lake Michigan, spotted a corpse.
12. The boys spotted a corpse, swimming in Lake Michigan.

13. Breaking the sound barrier, the supersonic jet startled the boys.
14. The supersonic jet, breaking the sound barrier, startled the boys.
15. The supersonic jet startled the boys, breaking the sound barrier.

16. Dying to hear the rest of the story, Mother finally completed her tale.
17. Hoping to have lots of fun, our vacation begins tomorrow
18. Realizing the danger to all the citizens, crime must be stopped.

(Object: to develop recognition of the -ing verbal)

1. What word appears in all sentences in Group I? (learning

2. What do you see that marks it as different from the other words in the sentences? (-ing ending)

3. To what form class does this word seem to belong? (verb)

4. How does it differ from other verbs that we have studied? (in position it does not occupy the normal verb spot)

5. Should such a word then be called by some other name than "verb"? (yes)

6. The name "verbal" is usually given this sort of verb form which does not occupy the normal verb position in the sentence structure. Can we now define a verbal? (A verbal is a verb form which occupies positions in the sentence structure usually occupied by some other form class.)

7. What positions do the verbals in these sentences occupy?
(In sentences 2, 3, 4, 5, 6, 7, 8, and 10--noun positions; in sentences 1, 9, and 11--either noun or adjective positions.)

(Object:) to study the -ing verbal in noun positions and in noun forms)

1. What positions do the -ing verbals in Group II occupy? (noun positions)

2. How many different noun positions do you find illustrated in sentences 1-6?
(1. subject position before the verb
 2. direct object position after a transitive verb
 3. indirect object after a transitive verb and before another object
 4. "predicate noun" position after a "be" form
 5. object of the preposition "of"
 6. attributive noun position)

3. How do we know that "barking" in sentence 6 is a noun and not an adjective?
(If it were an adjective, it would allow of the transformation "The permit is barking"--an adjective will fit in either attributive or predicate position--
TEACHERS: All of this unit assumes that the teacher has studied the unit on FORM CLASSES for the 7th Grade)

4. In terms of form, what do the -ing words in sentences 7 and 8 suggest?
(the -'s and -s endings suggest that the word "painting" is a noun)

5. Will the -ing words in sentences 1-6 allow of either -'s or -s endings? (no)

6. Then we must rely on position alone if we decide that the -ing words in sentences 1-6 are positioned as nouns; but in sentences 7 and 8 we have both position and word form to help us make this decision.

(Object: to study the -ing verbal in attributive and appositive adjective positions)

1. Underline the -ing verbals in sentences 1-5. (singing, painting, cringing, babbling, rollicking)

2. How do you know that the word "thing" in sentence 1 is not an -ing (because th is not a verb)

3. What position in relation to nouns does each of these verbals take? (the attributive position between determiner and noun)

4. Are these -ing verbals noun-like or adjective-like? (adjective-like)

5. How do you know? (They will take a predicate-position variation:
A singing girl = a girl singing
The painting crew = the crew painting
a cringing dog = the dog is cringing
a babbling idiot = an idiot is babbling
a rollicking idea = an idea is rollicking

6. Now point out the -ing verbals in sentences 6-10. (the same verbals as 1-5)

7. What is the position of these verbals in relation to the nouns? (they follow the nouns instead of preceding them)

8. Why, do you suspect, do the same verbals follow the nouns in sentences 6-10 but precede them in sentences 1-5? What is the difference? (In sentences 6-10 the verbals are followed by other words--complements in sentences 6, 7, and 9, prepositional phrases in 8 and 10, and adverb in sentence 9.)

9. Are these -ing verbals adjectival or nominal? (adjectival: they will allow of attributive and predicate position by themselves, as they did in question 5, above.)

10. May we then conclude that -ing verbals which are adjectival are placed before a noun if they are single words but after a noun if they are phrasal in their composition? (yes)

11. But is our conclusion in question 10 a perfectly secure one? Cannot the single word -ing verbals in sentences 1-5 also be placed after the noun as well as before it? (yes)

12. We have already learned that the term for an adjectival ahead of a noun is "attributive"; we can now learn that the term for an adjectival following a noun is "appositive"--that position is known as the appositive position.

(Object: to learn front-and end-shifted positions of adjectival -ing verbals; to discover the problems of misplaced and dangling verbals)

1. Point out the -ing verbals in sentences 1-3. Are they nominal or adjectival? How can you tell? (by the attributive predicate position check)

2. In sentence 1, a new position for adjectival verbals is illustrated. What is that position? (ahead of both determiner and noun) How might we describe that position? (as "front-shifted" to the beginning of the sentence)

3. Point out the -ing verbals in sentences 4-6. Are these single-word or phrasal verbals? (phrasal) What position observed in sentences 1-3 does the phrasal verbal not take? (the attributive position before the noun and after the determiner)

4. In sentence 6, we discover a yet new position for the -ing verbal. What is it? (at the end of the sentence, after the basic pattern is completed) How might we describe this position? (as "end-shifted" to the end of the sentence)

5. Now we may summarize: how many different positions may the -ing adjectival verbal take?
   (1. the attributive position between determiner and noun.
   2. the predicate position, after noun and "linking" verb.
   3. the appositive position, after determiner and noun.
   4. the "front-shifted" position, before determiner and noun.
   5. the "end-shifted" position, at the end of the completed pattern.)
   Which of these positions is not open to the phrasal-ing verbal? (the attributive position)

6. In sentences 4-6, what noun is associated with the verbal phrase "sensing trouble ahead"? (scout)

7. Now look at sentences 7-9. You will observe that these sentences are somewhat similar to sentences 4-6. Yet we observe that sentence 9 poses a problem that sentence 6 did not: it sounds a bit funny. Let us examine why. In sentences 7 and 8, what noun does "sensing trouble ahead" relate to? (scout) In sentence 9, what noun does the phrase relate to? (either scout or leader) Since there are two nouns that the phrase might relate to, some difficulty is posed.

8. Now look at sentences 10-12 and 13-15. Do you observe that in sentences 12 and 15 really funny meanings emerge when the -ing verbal phrase is wrongly placed in the sentence? But there is no difficulty in sentences 10-11 and 13-14. Does this tell us something about the care with which we must place our verbal phrases?

9. We should be ready to form a rule: that verbal phrases must be placed so that the noun to which they relate is unmistakable.

10. Now look at sentences 16-18. Point out the verbals here. Notice they are phrasal verbals again. What noun do they relate to in the sentence? (none) A verbal that does not relate to any noun is called a "dangling verbal."

11. Try your hand at making up five sentence in which a verbal "dangles"; see how many crazy relations you can suggest.

B. The -ed Verbal

Sets of Sentences

I

1. Exhausted, the boys fell to the ground.
2. The fuel in the tank was completely exhausted.
3. The exhausted mule refused to work.
4. Joe dropped in the chair, exhausted.
5. A man exhausted is of no value to us.
6. Our energies exhausted, we gave up the search.

II

1. A hated child is a sad sight.
2. Hated, a child is a sad sight.
3. A child hated is a sad sight.

4. Hated by everyone, a child is a sad sight.
5. A child hated by everyone is a sad sight.
[6. A child is a sad sight, hated by everyone.]

III

1. Ridden by poverty, the old man saves his pennies.
2. The new snow, frozen at the top, makes for slippery footing.
3. The student is submissive, taught by bitter experience.
4. A sung song is a poem unspoken.
5. A man hit in anger should be resentful.
6. Shown new tricks, the dog was eager to learn again.

IV

1. Rattled by the narrow escape, our trip continued uneventful.
2. The night was a quiet one, uninformed of the disaster.
3. Crowded off the road, an accident was inevitable.
4. Overheated, cold water is dangerous.
5. Mary finally found mother, delighted with her purchase.
6. Forced into idleness by the strike, the babies of the miners had no food.

(Object: to identify the -ed verbal and learn its positions)

1. What word do sentences 1-6 in the first group have in common? (exhausted)

2. From its form, what word-class would you place this word in?
(verb--the -ed form of "exhaust")

3. Why wouldn't you call "exhausted" in these sentences a verb? (because it does not take verb position in the sentences.)

4. What positions does the word "exhausted" take? (the same positions we found -ing verbals taking in the former lesson--
    in sentence 1 "front-shifted"
    in sentence 2 predicate
    in sentence 3 attributive
    in sentence 4 "end-shifted"
    in sentences 5 and 6 appositive)

5. Is exhausted clearly adjectival in each of these sentences? (yes)
How do you know? (It will fit in both attributive and predicate positions in relation to the noun it is associated with:
    1. the exhausted boys = the boys are exhausted
    2. the exhausted fuel = the fuel was exhausted
    3, the exhausted mule = the mule was exhausted
    4. exhausted Joe = Joe was exhausted
    5. an exhausted man = a man is exhausted
    6. our exhausted energies = our energies were exhausted)

6. Is it then sensible to call this word a "verbal" as we called the -ing verb form which took non-verb position a verbal? (yes)

(Object: to study the single-word and phrasal -ed verbal and recognize the positional limitations of the phrase)

1. In Group II, what is the verbal common to each sentence? (hated)

2. In sentences 1-3, is the verbal a single-word or phrasal verbal?

3. What positions does the verbal occupy in sentences 1-3? (attributive, front-shifted, and appositive)

4. In sentences 4-6, notice, the verbal is a phrasal one. Which of the positions occupied by "hated" in sentences 1-3 cannot be occupied by the phrase "hated by everyone"? (the attributive position)

5. On your sheet, sentence 6 is set off. There is a difficulty with it. Can you see the difficulty? (yes; the verbal is misplaced)

6. What two things might be meant by sentence 6? (that a child is a sad sight and hated by everyone or that a child is a sad sight and the sad sight is hated by everyone)

7. Can you see a distinction in meaning, by the way, between sentences 4 and 5? (in 4 the suggestion is that a child--any child,--is a sad sight; in 5 only a child hated by everyone is a sad sight. The distinction is one of restriction of modification. At this point, the teacher might wish to explain that the so-called restrictive modifier must occupy appositive position; only non-restrictive modifiers may be front-or end-shifted)

(Object: to accustom the student to recognize "irregular" -ed forms)

1. Look at the sentences in the third group. You may remember from your study of the verb form class that some verbs do not make their -ed forms by adding -ed, but rather take variant forms. Do you recognize some of them in these sentences? (ridden, frozen, taught, sung and unspoken, hit, shown)

(Object: to recognize "misplaced" and "dangling" -ed verbals)

1. Point out the -ed verbals in the sentences in group IV. (rattled, uninformed, forced, delighted, crowded, overheated)

2. In sentences 1-3, you observe either strange or funny connections. What is wrong? (the -ed verbals do not relate to any noun in the sentence--they dangle)

3. In sentence 4, what noun does the verbal "overheated" seem to relate to? (water) Can it logically do so? (no, for the water is cold and wouldn't be overheated) What, logically, do the -ed verbals in sentences 1-4 relate to?
   (1. "rattled" relates to "we"
   2. "uninformed relates to "we," or "the boys," or "the family," or some other group of people
   3. "crowded" relates to "car" or some such word--whatever could be crowded off the road.
   4. "overheated" relates to "we" or "people" or someone who drinks the cold water)

4. In sentences 5 and 6 more subtle difficulties are seen. In 5, what nouns might the -ed verbal "delighted" relate to? ("May" and "mother") Which one does it relate to? (it is not clear; it might relate to either)

5. In sentence 6, what noun does the -ed verbal "forced" relate to? (miners)

6. Do you see that, grammatically, the phrase ~~"forced into~~ idleness by the strike" seems to point to "babies," whereas logically it must point to "miners"? This leads us to a little rule of thumb which is very helpful in writing. The rule is that if we begin a sentence with a verbal phrase, the verbal must relate to the first noun following the phrase.

C. The to- verbal

Sets of Sentences

I

1. To win was the main point.
2. John despised to lose.
3. My main desire is to learn.

4. To win the game was the main point.
5. John despised to lose his money needlessly.
6. My main desire is to learn mathematics.

7. The man to beat is Henry Smith.
8. The Superduper is the car to buy.
9. Father considered the desire to win a foolish thing.

10. To gain her point, the teacher distorted the truth.
11. The teacher, to gain her point, distorted the truth.
12. The teacher distorted the truth, to gain her point.

II

1. To gain our ends, trickery was resorted to.
2. To make sure of delivery, mail should be registered.
3. I must mail today, to arrive in time.

(Object: to identify the infinitive and observe its positions in the structure)

1. All of the sentences in Group I have one construction in common. Can you spot it? (to plus a verb form) This construction is known as an infinitive.

2. What positions are occupied by the infinitives in sentences 1-3? (noun-subject, noun-object, noun-complement) What other noun positions can you name? (the attributive noun, the indirect object, the objective complement, the object of a preposition) Can infinitives be used in these positions as well as the noun positions we see occupied in sentences 1-3? (no--but it will be interesting to let the students try their hands at it)

3. What position is occupied by the infinitives in sentences 7-9? (the appositive position after the determiner and noun) Can other adjectival positions be occupied by the infinitive? (no; but again, let the students try, after they've reviewed the adjectival positions)

4. What positions are occupied by the infinitive phrases in sentences 10-12? (front-shifted, between-noun-and-verb, and end-shifted) What form class are these positions associated with? (adverbs) It is characteristic of the adverb class that adverbs can shift indifferently from one of these positions to another; is this true in sentences 10-12--that is, do they mean the same thing substantially? (yes)

5. Clearly, then, infinitives position as nouns, as adjectives, and as adverbs. But they do not occupy all noun positions or all adjective positions.

6. Try substituting an -ing verbal form for each infinitive. Will it work? (It works perfectly on sentences 1-6) On sentences 7-9 the -ing substitution cannot be made; and on sentences 10-12 the substitution makes for a difference in meaning. The infinitive in sentences 10-12 has traditionally been called the "infinitive of purpose," because the meaning expressed is one of purpose or reason for an action. We cannot use the -ing form to express this idea.

7. Consider the infinitive construction in the sentences in Group II. Although infinitives do not so clearly "dangle" as other verbal constructions seem to, nevertheless you can probably re-cast each of these sentences so that the form of the sentence more exactly corresponds with the idea intended. (expect to attain such revision as:

(1) To gain our ends, we resorted to trickery.
(2) To make sure of delivery, one should register mail.
or
To make sure of its being delivered, mail should be registered.
(3) The letter must be mailed today, to arrive in time.)

D. Distinguishing Verbs and Verbals

Sets of Sentences

I

1. The workmen were rolling away the stones.
2. My job was rolling away the stones.

3. My father is to go to Chicago next week.
4. My desire is to go to Chicago next week.

5. The silverware was finally polished by the silversmith.
6. The silverware was brightly polished in the silver drawer.

1. Study the pairs of sentences. In the first sentence in each pair the verb-form is part of the verb; in the second, it is a verbal. How do we know this?

2. First look at sentences 1 and 2. To discover whether an -ing form is a verbal or part of the verb, two tests can be made:

   (1) If it is part of the verb, another verb form may be substituted for it: hence sentence 1 can be revised to read "The workmen ROLLED away the stones"; what about sentence 2?

   (2) If the verb form occupies what might be a noun position after a form of "be," the sentence can be turned around: sentence 2 could be changed to read "Rolling away stones is my job"; what about sentence 1?

3. Now compare sentences 3 and 4. Tests similar to those in question 2 can again be made:

   (1) Sentence 3 can be revised to "My father GOES to Chicago next week"; what about sentence 4?

   (2) Sentence 4 can be turned around: "To go to Chicago next week is my desire"; what about sentence 3?

4. Now compare sentences 5 and 6. When an -ed verb form is involved as part of the verb phrase after a form of "be," an active-voice transformation can be made: "The silversmith finally polished the silverware." And another rearrangement may be looked into, too: if the -ed form is verbal, it can in all possibility be moved into another adjectival position. Hence, sentence 6 can be rearranged to read

   The brightly polished silverware was in the silver drawer.

   The silverware was in the silver drawer, brightly polished.

   Notice that sentence 5 does not allow these variations.

IN SUMMARY

Verbals are verb forms occupying non-verb positions in the sentence structure. Verb forms in -ing may occupy positions of nouns and adjectives; verb forms in -ed may occupy positions of adjectives; verb forms with to- may occupy positions of nouns, adjectives, and adverbs.

Verbal phrases are usually more restricted in their positioning than single-word verbals.

All verbals should be related to a noun in the structure. When that relation is not clearly indicated, trouble ensues. For purposes of composition, this is of utmost practical importance, for it allows a break-down of communication as few other "grammatical" errors do.

XVI. Compounding

The following is an attempt to demonstrate that each element of the basic sentence patterns can be compounded and that structures such as prepositional phrases, clauses, etc., used in expanding the basic patterns can be compounded.

A. 1. The boys and girls are here.
2. The leaves were red and yellow.
3. The prisoners were men, women, and children.
4. The three men sang and drank all night.
5. Santiago seemed old but agile and strong.
6. The naughty boy eventually became and remained a gentleman and a scholar.
7. The company cans carrots, peas, corn, and squash.
8. The children sent the refugees clothes and food.
9. Rick and Tom have always considered him a fool and a liar and have ignored him completely.
10. They have elected him chairman of the board and president of the company.

1. How have the basic sentence patterns been altered in these sentences? Expected answer: The words in certain positions have been doubled. That is, two words have bren used in subject ~~position, verb position,~~ etc.

2. This is called compounding.

3. What words are used to join elements of the sentence?

4. Are there any elements of the sentences that have not been compounded?
Expected answer:
    a. The Adv. positions in sentences 1 and 4 have not been compounded.
    b. The first noun position after the verb in sentences 8, 9, and 10 have not been compounded.
Is it possible to compound those elements?

B. 1. Neither Jack nor Jill actually climbed the hill.
2. Either Miss Muffet or the spider will eat the curds and whey.
3. Both Mary and Jack Horner have been seriously maligned.
4. The wolf or the fox has always been the victim of malicious attack by the authors of such rhymes or fables.

1. What words are used to compound elements of these sentences?

2. Such words are called conjunctions. Make a list of them in your notebooks.

C. 1. You must pass the test, or you cannot make the trip.
2. We remembered the can of pork and beans, but we forgot the can opener.
3. The wind blew, and the snow drifted.
4. We went to the library, but the doors were closed.
5. The day was hot, and the sun beat down upon us.
6. They did not win the game, nor did they score.
7. We must hurry, or we will be late.
8. I did not see the boy, nor did I hear his call for help.

1. How many basic sentence patterns are there in each sentence?

2. The basic sentence has been doubled. This is called compounding. The two related ideas were joined to form a compound sentence.

3. What words were used to join the two basic sentence patterns in the compound sentence?

4. These words are called conjunctions, or coordinators.

5. Write eight sentences in which you join two basic sentence patterns with "and," "or," "but," "for," "nor." A comma must be used to separate the two patterns when joined by these words. When the conjunction is omitted, a semicolon is used to separate them.

D. 1. The soldiers retreated down the hill, through the creek, and into the forest.
2. Since they were frightened and because they were basically cowards, they ran helter skelter.
3. The old man who lived in the cottage, who told us stories, and who built ships in bottles was one of the most beloved characters in the neighborhood.
4. Telling stories to boys and building ships seemed to give him pleasure as well as security.
5. His greatest pleasures were to build his ships and to tell us stories.

(1) In these sentences what elements have been compounded?
(2) Looking over all the sentences, what rule might be determined about the use of the comma in compound structures? Expected answer: Commas are used to separate compounded elements when three or more are used.
(3) Write ten sentences in which you compound elements of the ten basic sentence patterns.
(4) Write ten sentences in which you compound elements such as clauses, prepositional phrases and verbals.
(5) Write sentences in which you join two basic sentence patterns with "or," "nor," "but," "and." A comma must be used to separate the two patterns when joined by these words.

E. Tell what element--form class word, phrase clause--is compounded in each of the following sentences from "Beowulf."

1. Beowulf gave over to his own King Bygelac all the gifts, the horses, and all the wealth he had won by his hardihood. (Direct objects)
2. Gusts of wind blew fragrant wind smoke out the open doors or curled it about the heavy oak rafters. (Verb)
3. The night had fallen early, but the hall door stood wide open at either end of the rectangular room. (Compound sentence)
4. The once fierce Vikings had long since become peaceful farmers; their leaders were called earls. (Compound sentence)
5. Over them all ruled a fair king, noteworthy because he upheld the freedom of his people, earls and carls alike. (Objects of preposition)
6. . . . their brothers, the Saxon kings, ruled Sussex, Wessex, and Essex. (Nouns in N. V.-Tr. N.)
7. . . . he must work first and foremost for his people's good. (Adverbs)
8. "I have glimpsed the sands of Africa and watched the foreign folk who dwell in Egypt's land." (Verbs)
9. "I have sung before the chiefs of the Angles here in Britain, and before the Jutes on the Island of Wight, and in the cold lands of the northernmost Picts." (Prepositional phrases)
10. Bards even now unborn shall sing of his feats, his strength, his faithfulness, and his openhandedness. (Objects of prepositions)
11. Battle axes and swords lay flashing in the winter sunlight about his body. (Noun subjects)
12. He would have built in Denmark a great hall, so lofty, so heavy with gold, so braced with iron bands . . . (Adjectives)

13. . . . gleemen from all over the sea-swept lands came to gasp at its rows of stags' antlers, its bronze-bound doors, its lofty ceiling and the lavishness. (Objects of prepositions)
14. Night after night, the fiends of evil . . . writhed and curled with hatred. (verbs)
15. He it was who had bespangled the soils with russet leaves and reeds and who had breathed the breath of life into beings. (Objects of prepositions and relative clauses)
16. Hrothgar and his eldermen lived happily in Heorot Hall . . . (Noun subjects)
17. Grendel and his folk had been banished to the fens . . . (Noun subjects)
18. No suppers were held and no scops or gleemen came to Heorot any more. (Compound sentence)
19. From his end of the hall Beowulf watched the ogre, weighed his endowment, and waited to see how Grendel would strike. (Verbs)
20. Beowulf would not let go the hand, and his heart was bent on the ogre's death. (Compound sentence)

F. On the left are grammatical elements. Rewrite the sentences, compounding the particular element or elements encircled in the left-hand column.

Grammatical Element	Sentences
Object of preposition	The next morning the Danish warriors began to creep back to their king.
N. V-Tr. N.	They heard the bright tidings.
Adverb	Awkwardly they nudged each other and gawked at the hero.
N. V. (Adv.)	Warriors never went hear that poisoned pool.
Adjective	They sang again how Sigmund had dealt with a dragon.
N. Be-V. N.	The tales of his might were a refreshment.
N. V. (Adv.)	Hrothgar, the keeper of golden rings, walked forth from his wedding.
N. V-Tr. N.	"I have withstood so long the wrath of this ogre."
N. V-Tr. N.	King Hrothgar thanked Beowulf.

G. Compound the following sentences by adding an additional sentence pattern.

1. The northmen were a dauntless people.
2. "May God uphold you!"
3. His sword was always at hand.
4. Hrothgar held the cup to Beowulf's lips.
5. The king gave a fine, worthy gift to each of the warriors.
6. After the giving of gifts the gleemen brought forth their joywoods.
7. Of all the warriors in Heorot only Unferth was closemouthed that day.

9. Gold cups and dishes were set on the boards.
10. With tears running down his cheeks the king clasped the hero.

H. Compare

And there went out a champion out of the camp of the Philistines, named Goliath, of Gath, whose height was six cubits and a span. And he had a helmet of brass upon his head, and he was armed with a coat of mail; and the weight of the coat was five thousand shekels of brass.

I Samuel 17:4

and

They sat on the Terrace and many of the fishermen made fun of the old man and he was not angry. Others, of the older fishermen, looked at him and were sad. But they did not show it and they spoke politely about the current steady good weather and of what they had seen.

The Old Man and the Sea

and

Then he was out of his nest and standing on the deerskin rug, and his breeches were hanging handily, and his shirt right side out by good fortune, and he was in them, and dressed, and there was not any need of sleep, or anything but the day, and the smell of hot cakes in the kitchen.

The Yearling

1. From what three sources do these three quotations come? You may not have read some of the books, but you have worked with sentences from them before in the Syntax Unit.
2. These three books were not written during the same period of history, but there is an amazing similarity among them. What similarity can you observe in all three passages? (The connections of sentence patterns.)
3. In your investigation of subordination, you discovered that basic sentence patterns can be connected to one another in several different ways? Mention as many as you know.
4. What device for connecting patterns is used predominantly in these sentences? (The use of and.)
5. Study this rewriting of the second passage.

   They sat on the Terrace while may of the fishermen made fun of the old man although he was not angry. Others, of the older fishermen, looked at him until they were sad. But they did not show it while they spoke politely about the current steady good weather and of what they had seen.

   Point to a place where the meaning actually changes because the structure word has been changed.
6. Read the two versions aloud. Which is most pleasing to your ear? Figure out some valid reason for your choice.
7. In the first and third passages take out the ands and substitute other structure word connectors. Check your lists of coordinators, subordinators, and relative pronouns if necessary.
8. MODEL WRITING: Again, a model-writing exercise would assist the student in visualizing the syntactic natures of the three passages above.

Beginnings could be: And there came a batter out of the dugout of the Phillies, named . . . . We sat in the drug store and many of the sophomores made light of Mr. X and he remained quite congenial. . . . Then he was off the bench and standing before the coach, and . . . .

XIII. Immediate Constituents

The principal of Immediate Constituents and the binary construction in basic sentences is explained in the two excerpts taken from the textbooks, The Structure of English by Nelson Francis, and English Sentences by Paul Roberts.

> In the discussion that follows, a simple system of diagramming will be used to represent graphically the various structures which are encountered in English syntax. Most systems of diagramming in common use depend on rearranging the words and word groups of the structure being diagrammed in order to place them in a geometric pattern which reveals their logical relationship. There are two serious objections to this procedure: (1) Since it is based on a logical (meaning-based) understanding of what the structure means, it reveals the logic, rather than the grammar of the structure; (2) By re-arranging words, it obliterates the part played by word order, one of the basic syntactic devices of English. Systems of diagramming that depend on re-arrangement thus conceal grammatical structure instead of revealing it.
>
> In contrast the system used here will leave the words in the order in which they appear. It is intended to be a graphic representation of structure based on two main principles: (1) English syntax is a many-layered organization of relatively few types of basic units; (2) every structure may be divided into its Immediate Constituents (often abbreviated IC's by linguists), almost always two, of which may in turn be divided and subdivided until the ultimate constituents (in grammar, the words) are reached. This is graphically indicated by enclosing each ultimate constituent in a box and drawing larger and larger boxes around the Immediate Constituents of each of the increasingly complex structures into which they combine. The result is something like those famous "Chinese boxes" that fit one within another. The difference is that each of our syntactic boxes contains not one but usually two smaller boxes. (See Illustration c.)
>
> --Nelson Francis, The Structure of English (New York: The Ronald Press, 1958).

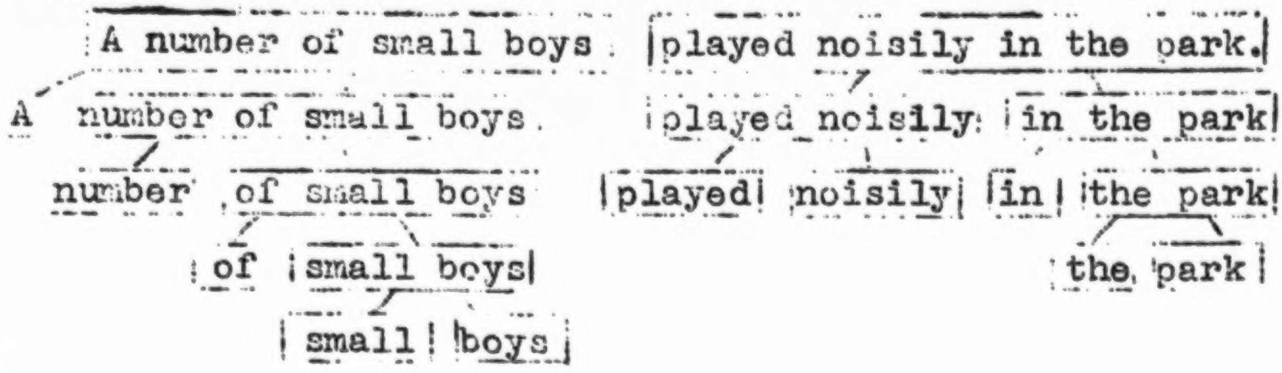
Paul Roberts in English Sentences expresses the idea of Immediate Constituents in the following terms:

> Part of understanding an English sentence is understanding what goes with what. Part of composing an English sentence is making clear what goes with what. This seems perfectly simple and obvious, but actually the mechanics by which English keeps its line clear is rather interesting and delicate. By studying this mechanism, one can perhaps avoid certain mistakes and clumsy constructions in writing.
>
> An English sentence is not just a collection of words. Rather it is a series of groupings of words, a series of constructions that cluster and nest inside other constructions. The nature of the clustering is connected with the fundamental distinction between basic sentences and transformed sentences. All basic sentences have what is called a binary construction. This means that each basic sentence is composed of two parts. Each of these two parts (if more than one word) is composed of two parts. Each of these is composed of two parts, and so on, until we get down to single words. Many transformed sentences have this kind of construction too, but not all do.
>
> . . . a basic sentence pattern consists first of all of a subject and predicate. These are what are called the Immediate Constituents of the sentence. They are constituents in the sense that they constitute, or make up, the sentence. They are immediate in the sense that they act immediately on one another: the whole meaning of the one applies to the whole meaning of the other.

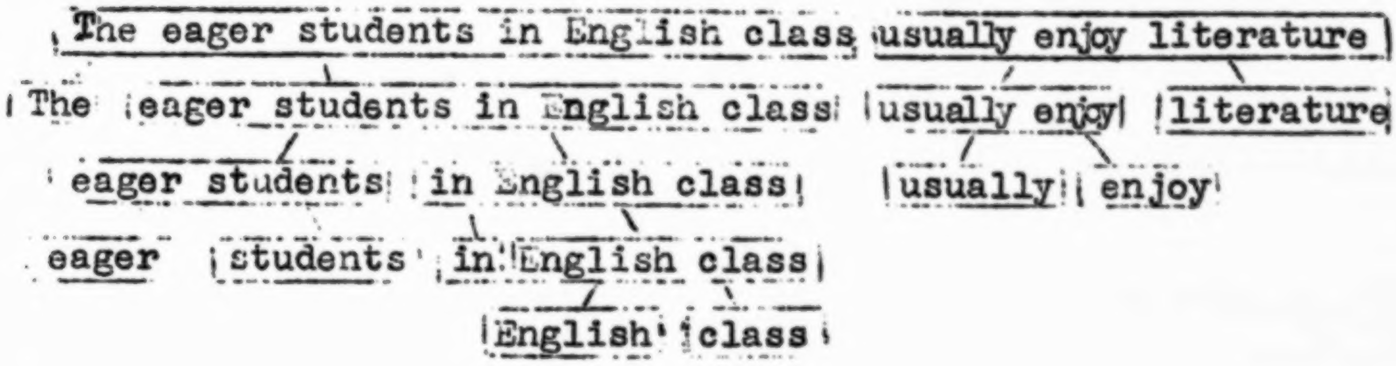
--Paul Roberts, English Sentences
(New York: Harcourt, Brace and
World Publishing Co., 1962).

Illustrations of Sentences cut into IC's:

A. A number of small boys played noisily in the park.



B. . The eager students in English class/usually enjoy literature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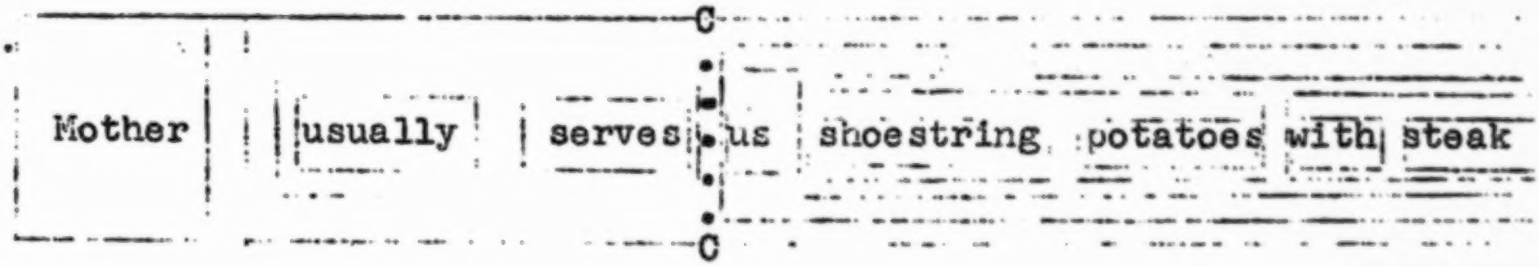
C.


C
Mother
usually
serves
us
shoestring
potatoes
with
steak
C

C = Complement

D. After the teacher has explained the principles of Immediate Constituents and binary construction to the students, the sentences illustrated (a, b, c) may be put on the board and divided into the Immediate Constituents. Using both methods should help the students to see the divisions readily. Another method of explaining the principle on the chalk board is to erase the binary parts from a sentence starting with the least important and working up to the point where only the subject and verb remain.

Exercise 1. Divide each of the following sentences into its Immediate Constituents.
- (1) The ring-necked pheasant builds its nest in tall grasses.
- (2) In the fall hunters often gather in farming areas for hunting. ("In the fall" modifies the entire sentence)
- (3) They start their trek through the fields at the crack of dawn.
- (4) The happy hunters return wearily at noon with their limit of birds.

Exercise 2. Expand the following subjects and verbs into longer sentences by adding modifiers and phrases.
- (1) babies cry
- (2) children shout
- (3) men work
- (4) mothers made
- (5) tourists travel

(Additional exercises for use in teaching Immediate Constituents may be found in English Sentences, Paul Roberts; and The Structure of English, Nelson Francis.)

XIV. Summary Activities

A. Closing Comments to the teacher.

Junior high school students seldom misuse the basic sentence patterns, for their content determines their syntax. It is in layering the basic sentence patterns, in formulating expansions and transformations that students run into difficulty. Or, perhaps, it is in not layering at all, sticking to safe primer sentences. Perhpas it is monotony in layering. Perhaps it is lack of recognition of the vast possibilities presented by their language.

1. Exercises B and C under "Summary Activities" might serve for student revision. The teacher might take student sentences and write them on the blackboard. Have the class decide on the various possibilities for sentence improvement. Let them observe that some solutions are better than others. Illustrate exemplary sentences. Perhaps, the teacher might ditto several examples of student sentences which need revision for the class to work on. They could first identify the syntactic structures involved, then list the possible improvements, and finally decide on the most desirable revisions. Students might exchange compositions and select from the neighbor's writing a sentence or a group of sentences which they think they might be able to improve upon.

2. Have students save their first compositions composed in September, and later carefully compare them to compositions written late in the school year. Compare them to
   a. number of words in sentences.
   b. number of words in paragraph
   c. types of sentence openers
   d. sentence patterns

   This close investigation of their own writing might be compared to paragraphs from the literature in which the students make counts of these same four aspects of composition.

3. Have students study paragraphs that contain many adjectives, such as this one from Roughing It:

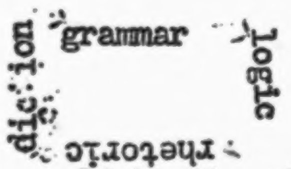
   > It did seem strange enough to see a town again after what appeared to us a long acquaintance with deep, still, almost lifeless and houseless solitude! We tumbled out intothe busy street feeling like meteoric people crumbled off the corner of some other world, and wakened up suddenly in this. For an hour we took as much interest in Overland City as if we had never seen a town before. Presently we got under way again. We came to the shallow, yellow, muddy South Platte, with its low banks and its scattering flat sand-bars and pigmy islands--a melancholy stream straggling through the center of the enormous flat plain, and only saved from being impossible to find with the naked eye by its sentinel rank of scattering trees standing on either bank.

   What happens to the paragraph when the adjectives are removed? Students can make good observations; they can soon make valid statements about an author's style as it is related to form classes and syntax. These observations will hopefully precede more critical observations.

MODEL WRITING: For "a town" in the first line of the paragraph above, have the students substitute "school" and work out the rest of the paragraph, closely following the model. For example: It did seem horrible enough to see school again after . . . .

4. As students are reading the literature have them stop occasionally to look at the frequency of sentence patterns. If they discover that some patterns are almost totally lacking have them insert some, and note the effect. If some patterns are used frequently, have the students attempt to shift to other patterns. They will find that this is difficult to do.

5. Have students watch for and collect sentences of perfection. These would necessarily be independent sentences which strike a good balance of



This sentence collection could be the starting point for many modelled writing activities. A student might attempt to include at least one "perfect" sentence in his every composition, and then he could collect his own perfect sentences.

6. Encourage students to keep glossaries of terms found in the syntax unit. They can write their own definitions of these terms. Capable students might apply traditional terms to sentence patterns, and record these in their glossaries. This would be only a beginning:

N. V.-Tr. N.	Direct Object
N. V.-Be N.	Predicate noun
N. V.-Be N.	Predicate Adjective

B. These sentences come from student compositions of original fables. Improve the student sentences on the left by following the directions on the right.

1. Flame was a real beauty. He was the pride	1. Make the second sentence into a noun in apposition.
2. She owned a very mean cat. She had a bird who was in a cage hanging from the ceiling.	2. Try compounding.
3. On the way he met the turtle. The turtle just stuck his nose into the air.	3. Combine the sentences by using a subordinator
4. The animals in the forest all flocked around the mockingbird they requested more songs.	4. A run-on sentence. Shift the last clause to a prepositional phrase.
5. He made a plan. He would kill the fox.	5. Make the second sentence into an infinitive phrase.
6. When it would come to be about midnight, he would go to the chicken house and he would get some chickens.	6. Leave out unnecessary words

7.	He heard of a city to the east that was full of gold. This city was ruled by an Indian tribe.	7.	Make an -ed verbal phrase from the second sentence.
8.	One day Jamie was showing off and tried to jump the corral and missed and hurt himself.	8.	Change tried to an -ing verbal. Eliminate some ands.
9.	He led the cow with a big smile.	9.	Move the prepositional phrase.
10.	The clock struck midnight and everything was still.	10.	Introduce the first clause with a subordinator.
11.	The cat was meowing. He was lying on the rug on the floor.	11.	Put meowing in the attributive position. Leave out unnecessary words.
12.	Once there were a cow and a horse. The horse was always bragging about how fast he could run. The cow bragged about how much milk she gave.	12.	Combine into one sentence by using subordinators and subordinate clauses.
13.	When the cat saw the mouse, it got frightened.	13.	Who got frightened?
14.	She pushed the cat out and the cat stayed out all night until he learned to leave the bird alone and mind his own business.	14.	Substitute a subordinator and a pronoun for "and the cat."
15.	Don't brag too much. You may end up like the horse and the cow.	15.	Combine the sentences by using subordinators.

C. Granted YOU would not write sentence like the following student examples. But these are actual examples of student writing and they need some help. You suggest what might improve the sentences.

1. The entrance of North School is on the north side of the school, there are other entrances to this school but the one on the north is the main one.

2. When you play basketball you try to get the ball in the basket.

3. He can start the horse out by just touching her in the flanks. Then she will turn by the touch of the rein on her neck.

4. It is a large structure. Its color is gray. It is made of concrete.

5. I have lived in many states. I like to live along the coast mainly.

6. We were near the Gulf of Mexico and swam in it.

7. [illegible]

7. He walked into the door and he glanced to the right and he waved to the crowd and he marched right down the hall.

8. Orpheus charmed Eurydice on his lyre.

9. When it comes to riding a horse I have a lot of fun.

10. The way I usually spend the week-end is to go to Lincoln High games because it is exciting and colorful, with red and black colors.

11. We went there in our car.

12. I spend the typical Saturday and Sunday by first of all doing my homework and usually I have my piano lesson on Saturday mornings.

13. Each pillar was grooved. By this I mean it had long narrow slits in it.

14. It is a beautiful building. The Greek temple was made out of beautiful stone.

15. The game of basketball has many rules to follow, and there are officials in black and white striped uniforms to see that these rules are followed.

A CURRICULUM FOR ENGLISH

Teacher Packet

THE HISTORY OF LANGUAGE

Grade 8, 9, or 10

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Experimental Materials
Nebraska Curriculum Development Center

CORE TEXTS: NONE.

OVERVIEW

The purpose of this unit is to give students an introduction to the historical background of the English language, the forms and the directions of its development since the old English period, and some of the techniques of linguistic scholarship. Its object is not to make linguistic experts of the students, and the unit makes no pretense of being an entirely comprehensive examination of every aspect of the languages it presents. Most important is the picture it presents of language as an orderly and continually changing phenomenon.

The unit is arranged as a series of questions about the language of three translations of a section of Beothius' Consolations of Philosophy. The questions are designed to direct the students toward evidence which will allow them to make general conclusions about the development of the language. Many of the questions are difficult ones, and the analyses required are frequently complex enough that students may have difficulty working them out alone. Perhaps the most efficient technique would be to work the exercises in class as a group. Frequently questions demand information and evidence discovered in earlier questions, and students should be encouraged to record their answers in their notebooks.

This teacher's packet does not pretend to outline teaching methods for the unit, and answers to questions have been included only when they are particularly difficult or when background material which cannot be determined from the question itself seems to be necessary or instructive. No reading questions dealing with the introductory material in each section, or any project materials have been included, but topics for this sort of activity should readily suggest themselves. For example, there are several instances in which map work could be helpful in illustrating regions of development, migrations, or invasions. Cultural examinations of the various groups mentioned in the unit—the neo-lithic people, the Danes, the Romans, the Celts, the French, and even (or perhaps especially) the English themselves during the various periods discussed—could easily be worked out by the teacher as the opportunities present themselves, and this sort of activity might help to enliven what is decidedly not the most exciting unit in the curriculum.

Each section contains a discussion of the sounds of the language, which will probably be singularly mystifying to the students unless they can actually hear the spoken language as well as read the descriptions. Thus, it is important that teachers utilize records in conjunction with these sections. (three are included in the bibliography). The working out of many of the questions is contingent upon techniques learned in the 7th grade form class unit and the 8th grade syntax unit. Perhaps some review of these units would be advantageous.

BIBLIOGRAPHY

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DICTIONARIES

New English Dictionary also known as the *Oxford English Dictionary* . 12 vols. and supplement. Oxford, 1884-1928, 1933. Easily the greatest of English dictionaries, though already in need of revision, this is known as the "NED" or "OED". Ignorance is unforgivable.

Webster's New International Dictionary, 2nd Edition. Springfield, Mass.: Merriam. This has more entries than any other "unabridged" dictionary, and is perhaps more readily available than the NED, but has by no means the NED's wealth of information.

AUDIO-VISUAL AIDS

Alphabet, 30 min. b. & w. 3 days, $4.00; 6 days $6.00. Analyzes the English writing system and traces the origin, development, and spread of the alphabet. Shows and explains writing systems, including Sanskrit, Chinese, and Arabic. Discusses the significance of hieroglyphics in the development of written languages.

History of the English Language, 30 min. b. & w., 3 days $4.00; 6 days $6.00. Investigates the history, development and spread of the English language. Traces the breakdown of the proto-germanic language into descendant languages, traces the dialects of England, explains how vocabularies change and develop as cultures mingle, reviews other world languages, and comments on the feasibility of a world language.

Both films available from Audio-Visual Library
Bureau of Audio-Visual Instruction
University Extension Division
University of Nebraska
Lincoln, Nebraska 68508

RECORDINGS

Our Changing Language, Evelyn Gott and Raven I. McDavid. Webster Division, McGraw-Hill Book Co. #23843.

A Thousand Years of English Pronunciation, Eva Lexington LE 7650/55, Educational Audio Visual, Pleasantville, New York.

____, Stock # RL 20-7 ($2.50). Available through the National Council of Teachers of English, 508 So. 6th, Champaign, Illinois 61822.

All three recordings include readings in OE, ME, and EMnE. Our Changing Language also includes samples of American Regional dialects, but its OE, ME and EMnE samples are not as full as those of the other two.

I. INDO-EUROPEAN QUESTIONS

1. a. These words all suggest an inland area with a temperate climate in which these animals and trees were common.

   b. Bee eliminates Asia as the area of development. Beech limits it to the region in which this tree is indigenous. You might further illustrate this method of locating the region of development by examining the language with this example: At one time it was believed that Indo-European developed in a region around the Black Sea. However the word eel has cognate forms in most Indo-European languages, and in this region of Europe there are no eels. Thus it is unlikely that the language developed here.

II. FOREIGN INFLUENCES

1. Celtic was the language of the conquered people, and since the Teutonic tribes possessed a more highly developed civilization, the Celts had little to offer culturally to the invaders, and thus introduced no important concepts or tools for which the Teutons had no terminology. Moreover, it was an advantage for the Celts to be able to communicate with the dominant Teutons who, as a conquering people, naturally took few pains to learn Celtic. This all suggests that culturally and militarily dominant peoples tend to impose their languages on the conquered.

   This is perhaps a good time to make the point that the survival of a language seldom depends on anything intrinsic to the language itself. Thus, the fact that the Germanic languages replaced Celtic in England doesn't at all imply that they were superior, but simply that social, political and cultural developments favored the survival of the one, and discouraged the use of the other.

2. The first three suggest war and fighting; the next three trade; the next five domestic life, household articles, and food; the last three building and the arts.

3. Christianity was a relatively new religion in England, and with its introduction came many new concepts for which English had no terms.

4. The rendering of new concepts by alteration of the meaning of old words and the creation of new terms from native roots suggests that foreign influences stimulate the growth and the creative resources of a language.

5. The formation of compounds and derivative parts of speech by combining native and borrowed elements (hybridization) indicates that foreign words were quickly assimilated to the degree that they were indistinguishable from native words, and were subject to the same rules as native words. It also suggests OE possessed the necessary inflections and derivative endings to take full advantage of new words.

6. Because of the many similarities of the two languages, and the fact that their cultural levels were similar and relations between the tribes were relatively friendly, it is difficult to determine which language influenced the other; the same reason however made borrowing easy, and frequently a Scandinavian word reinforced an English one.

7. These words are all very ordinary words--they aren't scholarly or ecclesiastical borrowings, but those which reflect the every-day associations of the two peoples. The fact that pronouns and prepositions, as well as very common nouns and verbs were adopted indicates the importance which Scandinavian languages have had for English.

8. Troubadour, stallion, machine: French
bouy, splice, caboose: Dutch
drill, plunder, kindergarten: German
carnival, miniature, volcano: Italian
comrade, guitar: Spanish
robot: Czech
arsenal: Arabic
shawl: Persian
coffee: Turkish
ketchup: Chinese
tycoon: Japanese
teepee: Sioux Indian

b. When languages are faced with the task of providing new terminology, they may either create new words from native roots, alter the meaning of existing words, or borrow from other languages. English generally tends to borrow, though it occasionally does use both the other alternatives. Lighthouse and space ship are examples of the use of native roots with slight meaning changes.

EMnE ADVERBS

1. Confusion with other parts of speech which carried an -e inflection probably

influenced the spread of the -ly as an adverb marker.

NOUNS

1. There are two EMnE noun forms, a stem form and a plural/possessive form. There was no strict rule determining the use of -s or -es as the inflection for the second form.

ADJECTIVES

1. EMnE forms its comparative and superlative degrees with the same inflections (-er, -est) and function words (more, most) that MnE uses, but frequently EMnE authors used parafrastic comparison where MnE would be more likely to use inflections (example 1), and vice-versa (example 3). Occasionally, comparatives and superlatives were compounded (example 2).

EMnE PRONOUNS

2. Generally the "ye" (plural) form was considered the proper form for polite address, and was used with strangers or social superiors. The "thou" (singular) form was considered the familiar form, and was used to address inferiors, intimates, and social equals. The situation is analogous to the du and sie forms in modern German. This will not always explain the reasons for particular usages, however. There could be ironic value in having characters use the wrong forms of address, or a not too subtle insult could be delivered by using the wrong pronoun. Moreover, by the 16th century these distinctions were beginning to break down, and colloquial usage was probably rather casual about them.

3. The polite form had begun to be acceptable for all 2nd person usage, and gradually you was gaining currency as the nominative as well as the dative and accusative cases.

EMnE VERBS

2. The form is changing. Compared to dramatic writing, which attempts to reproduce colloquial usage, philosophical and religious writing tend to use conservative language. Even today it is common to hear archaic thee's, thou's and hath's in prayers and hymns. Language changes are seldom the result of scholarly decisions, but rather of changed usage habits among the general speakers of a language.

5. The idea that two negatives negate each other, or are equivalent to a positive did not arise until eighteenth century grammarians attempted to apply the tenants of Aristotelian logic to language. Previously, doubling the negative was considered a useful device for intensifying a negative statement.

7. Subjunctives were more common in EMnE (and ME and OE) than in MnE. MnE frequently uses function words (such as shall, will) with indicative verbs to indicate the subjunctive idea. (Students may need some review of the subjunctive before the question is entirely clear to them.)

MIDDLE ENGLISH

This selection is decidely more difficult than the EMnE one, and although there are not many words which are entirely foreign to MnE, many familiar words have a formidable appearance, and until students are able to recognize the resemblances to MnE they may perhaps be discouraged. Therefore it is important that the sense of the selection be carefully worked out. This process will be much more valuable if the students, with whatever assistance seems necessary, work out the unfamiliar words and their modern cognates for themselves rather than simply look back at the MnE translation. The New English Dictionary and the glossary in any good edition of Chaucer will be useful.

ME NOUNS

1. ME retains only two noun forms, the stem form and a single form for both the plural and possessive. The most common plural/possessive inflection is -(e)s, but -(e)n was also frequently used (MnE the word ox retains this method of plural formation). Some words (such as wife) changed an f to v and added -(e)s; others (like sheep) made no change in the plural.

   The fact that the -(e)s inflection was most common, probably caused speakers to begin using it even on words which had earlier used some other method. In the same way, a child occasionally says tooths for the plural of tooth making the word conform to the pattern most familiar in English. This process of analogy has operated on most English nouns, simplifying and leveling the plural/possessive inflection.

   The fact that the plural/possessive inflection is most frequently spelled with a vowel (e) rather than simply as -s (as in most ME words) indicates that this inflection frequently had syllabic value (compare horses with days). This has been lost in many MnE words.

ADJECTIVES

1. The fact that EMnE and MnE do not retain two adjective declensions indicates a simplification and leveling of forms.

2. The comparative and superlative degrees were indicated inflectionally; parafrastic comparison was seldom used. The ME -re inflection has become -er. The -re demands more stress than -er; this reduction of stress on vowels in unstressed syllables is another example of the simplification which has taken place since the ME period.

ADVERBS

Adverbs were formed generally by the addition of -e, -ly, and occasionally -lican to the adjective form. (ful is equivalent to MnE very.)

VERBS

6. The -eth inflection is universal in ME.

7. The auxiliary do is commonly used in MnE and EMnE, but seldom in ME; in ME the verb-negative word order is more common.

8. Negatives were compounded as an intensifying device.

9. In ME, the inflected verb-subject order is common. EMnE and particularly MnE most frequently use an auxiliary followed by the subject and an uninflected verb.

10. The progressive construction is very infrequent in ME.

11. In these sentences do means provide or give, and is used as a main verb, not as an auxiliary. In MnE, do has little real meaning; it usually functions as a marker for questions or as a function word or intensifier.

12. In the first instance a 2nd person pronoun is used with a 3rd person verb. This is a common construction in ME called impersonal, or dative reflexive. Rather than saying "if you like. . .," Chaucer says "if (it unexpressed) likes you. . .," (cf. the 2nd example). This form is analogous to our "if it pleases you. . .." This usage still has occasional currency in the archaic expression methinks, a shortened form of it thinks me (I think).

13. When inflections indicate the grammatical relationships of sentence elements, word order doesn't play as important a part, and thus needn't be as fixed as in a highly syntactic language like MnE.

OE GRAPHEMIC CHANGES

1. Except when doubled, or in the combination ng, g has become y. G in OE was generally pronounced like the y in you.

2. F between vowels has generally become v; it had the sound value of MnE v in this position.

3. OE sc has become sh. It was pronounced like the sh in should.

4. C in OE sounded like MnE k, and has become k in MnE.

5. Y in many OE words has become i in their MnE cognates.

6. B between vowels has become v.

7. None of these letters has undergone consistent change.

8-11. The inconsistency of the vowels replacing these OE graphemes and the fact that MnE cognates have occasionally descended from variant OE forms (brignon-brengon) help to account for the variations and difficulty of many MnE spellings.

B. DERIVATIONAL AFFIXES

2. The change in the adjectival comparison inflection reflects a corresponding lightening of stress on vowels in unstressed positions.

3. The same process is illustrated here: the change from -as to -(e)s illustrates a lightening of stress.

4. Although they are more numerous in OE than in ME, the words which form

plurals with an -(e)n inflection are in the minority. The process of analogy has operated to almost eliminate this form in MnE.

5. OE is an inflected language--the relationship of words are indicated most frequently by inflections, and not by word order as in MnE.

6. This question reinforces the last. Genitive relationships are indicated by inflections of the noun or pronoun and the object, not by the function word of or the -'s inflection.

7. These nouns are all objects of prepositions, and this relationship is also indicated by inflection as well as by the preposition which precedes the object.

8. MnE uses syntax, function words and a simplified inflectional system to indicate these relationships.

PRONOUNS

SINGULAR

	Subjective	Objective	with Prepositions	Possessive
First person	I, Ich	me, mee	me, mee	my, myne
2nd person	thou, thow	the, thee	the, thee	thy, thyn
3rd person masculine	he, hee	him, hym	him, hym	his
feminine	she, shee	hire, hir	hire, hir	hire, hir
neuter	hit, it	him	him	his

PLURAL

First person	we, wee	us	us	hire, hir
2nd person	ye, yee	you	you	hire, hir
3rd person	they, thei	hem	hem	hire, hir

2. The easy confusion of the neuter with the masculine forms, and analogy with noun possessives and the hit forms of the subjective and objective cases probably account for the it and its form in MnE neuter, dative, and possessive.

3. Again, the confusion of these forms probably led to the adoption of more easily distinguishable forms.

4. The reflexive pronoun had not developed in OE.

6. OE gender was grammatical rather than natural; that is, its assignment has little to do with the actual sex of the thing spoken of, but was assigned arbitrarily.

7. Thaet functioned as a relative, a demonstrative and as a definite article.

D. VERBS

The same strong and weak distinctions that were discussed in connection with ME verbs hold true (and to a greater degree) in OE as well.

3. The changed infinitive ending indicates a lightened stress.

4. There are 7 types of stem vowel changes.

12. Verbs have simplified; many strong verbs have become weak.

E. SYNTAX

1-4. These simple analyses depend on information from the 8th grade syntax unit. If the students are confused, perhaps a review of this material would be in order.

5. The dative reflexive construction is discussed in the ME section.

A CURRICULUM FOR ENGLISH

Teacher Packet

WORDS AND THEIR MEANINGS

Grade 8

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Experimental Materials
Nebraska Curriculum Development Center

Core Texts: None

Supplementary Text: None

Objectives:

1. To increase the student's control of language.
2. To forestall confusions which arise from failure to understand how words can be used meaningfully.
3. To show how people use words as "meaningful" tools.
4. To increase the student's knowledge about his language.
5. To clarify the student's understanding of our methods of explaining words.
6. To increase his facility in using these methods.

Outline:

I. Introduction
II. Suggested Procedures
  A. Introductory Exercises (Exercises 1-3).
  B. Where and How We Learn the Meanings of Words: Ages and Contexts (Exercises 4-10).
  C. How and Where We Learn the Meanings of Words: Methods of "Teaching" and "Learning" (Exercises 11-24).
  D. How We Know We Know Words (Exercises 25-29).
  E. Where Not to Look for the Meaning of a Word (Exercises 30-33).
III. A. Conclusions
  B. Composition Assignments
IV. Background Information

I. Introduction

Somewhere in the Student Packet for this unit you'll find an anecdote of a four year old boy who protested to his mother that shorts (i.e., briefs, underpants) weren't "pants." "These," he said, pointing to a pair of jeans--slacks, trousers, "are pants." One's first response is to smile at his naivete and to envy his certainty about the nature of language. But the more one thinks about this incident, the more interesting it becomes. We can say that the boy makes two mistakes. First he thinks that shorts have a right and proper name ("shorts") and can't be called anything else; and second, he thinks that "pants" has a right and proper meaning and can have no other. Both of these ideas appear to assume that there is some correspondence between words and things, moreover some one right and true correspondence.

As we thus explicitly formulate the boy's mistakes and misconceptions, they should seem much less naive, unfamiliar and laughable. They, in fact, might be attributed just as accurately to our own, much older students, although the older students are likely to be talking not of shorts and pants, but of jazz and faith, or of true poise or real friendship. And the mistakes become still less laughable when we see that they might be attributed to us, too--except that when we make them, we are likely to be insisting on the one right use of "compare" as opposed to "contrast," or asking the students to find the things all nouns have in common, or all adventure stories, or all words. Or we are likely to teach that all words have referents (i.e., correspondence between word and thing). In a way, it begins to appear, we have long been teaching the ideas we laughed at when we saw a four year old using them. The story of the boy thus begins to get downright discumbobulating.

For what it's worth, though, we are not alone. Politicians, statesmen, theologians, ministers, jurists, philosophers, physicists, logicians, linguists, literati of all sorts,--all these and many more might just as easily be the subject of the anecdote about the four year old, if we only substitute different words for "pants" and "shorts." However comforting it may be to recognize that many others share our misconceptions, it should also be disturbing to us, since we are in large part responsible for teaching everyone how the language works and how to use it clearly.

It becomes the more disturbing when we observe some of the practical consequences of the misconceptions. One of the consequences for teachers is that we ask the student to do work which is not just confused and fruitless, but unadulterated nonsense: we ask him to look for things that aren't there (the real meaning of a word, the qualities which all satires have in common, etc.) and reward him only if he tells us that he found them. One of the consequences for natural scientists is that they have looked for things ("heat," "ether") that weren't things; one of the consequences for philosophers, that they have sought to describe things ("imagination," "time") that weren't things; judges and juries have fined or imprisoned or freed, voters have elected or defeated, salesmen have sold, believers converted--and this not on the basis of what one word meant, but rather on an assumption, a misconception, about how words must mean.

Well--that's getting a bit melodramatic. But not really unwarranted. As evidence, consider the two particular illustrations which follow, suggestions of the pervasiveness and influence of the child's assumptions of how words must mean. The first illustration is taken from the essay "Notes on the Short Story," an essay in a very recent college anthology of short stories, an anthology by two outstanding scholars and college professors:

> No definition of the short story has succeeded in sticking. If we could eavesdrop on an improbable exchange between Edgar Allan Poe, one of the first short-story writers, and Katherine Anne Porter, one of the most recent, we might hear something like this: Poe: "But, my dear lady, your stories have no plot." Porter: "And your stories, my dear sir, have little else."
>
> This imaginary exchange goes to the heart of the problem of defining the short story. The nineteenth century tended to construct its definition around some concept of plot. The twentieth century has relegated plot to the background--or has defined plot with such refinement as to make it unrecognizable by the earlier writers. If, as modern readers with wide-ranging curiosity and catholic taste, we do not want to exclude from our interest large numbers of excellent short stories, we must seek a definition that is not restrictive and closed but comprehensive and open. In searching for such a definition, we must not be too upset by a certain amount of vagueness and a few loose ends. Better these in all their barefoot congeniality than a narrow

view that frowns and scolds us into shoes that pinch.

> Perhaps the most marked traits of short stories are brevity, density, and unity. . . .

This passage occurs in an essay which seeks to introduce college students to the study of short stories. The essay seeks to define "the short story," as if there were one right set of qualities designated by the phrase "the short story." The authors clearly make the same assumption as the four year old made about pants and shorts: there is one right and proper meaning of "the short story," and whenever we say "this is a short story" we mean "this has qualities X, Y and Z." The passage is particularly interesting because the authors recognize that no one has succeeded yet in identifying these qualities ("No definition of the short story has succeeded in sticking") but they are not intimidated from taking a stab at it themselves; further, they admit that their own definition or list of qualities common to all short stories is not entirely satisfactory ("we must not be upset by a certain amount of vagueness and a few loose ends") but ask the student to consider their definition anyway ("the most marked traits of short stories are brevity, density, and unity").

Upon reflection, however, it appears that one should be upset. We do not, in fact, expect all games to have something in common, or all runs, or all feet, or all hedges, and there is no reason to assume that all short stories do either. Yet here two reputable scholars have made this assumption, puzzled over the problems the assumption got them into, and then asked the students to study the misleading information based on the assumption. The assumption is an assumption about how words must mean, the same assumption as the four year old made, a misconception about how words do mean. That the consequences of the assumption are unfortunate is clear. That they are practical consequences is also clear. That they concern us as teachers and students of language and literature is also clear.

One more illustration. Imagine the prosecuting attorney in a courtroom aksing the defendant "Did you or did you not say to the deceased 'I could kill you for that'?" The defendant may have said it, and may be forced to admit that he said it. But perhaps he said it as a hyperbolical expression of annoyance, or even of pleasure, but the attorney's question assumes that the statement must correspond as a description to the defendant's capability of murder. The attorney's question, that is, assumes, and expects the jury to assume, a certain view of how words mean, the same view at which we smiled when it was a four year old boy who held it. In short, it begins to appear that the problem that concerns us in this unit concerns us not only as students of language (a fairly minor role for most of us) but also as buyers and believers, voters and citizens, lovers and parents, as well as teachers of tomorrow's buyers, believers, voters, citizens, lovers, and parents.

This unit hardly pretends to solve the problem. It does, however, seek to break down the rigid, popular and misleading view of how words mean, the view the four year old held, and the view the students are likely to hold. And it seeks to teach them to ask questions which will either preclude or resolve potentially misleading semantic confusions. When we examine where and how we learn words, and when we reflect on how we know when we understand words, we find that our simplistic symbol-referent view of how words mean will not serve, and that a much more flexible view--or even a collection of views--is required. The four sections of the student packet seek to lead the student to make that examination, to discard inadequate views of meaning, and to arrive at more adequate views.

The first section is a series of exercises which ask the student to recall where and how we learn different kinds of words, the second a similar series suggesting how and where we learn and teach words, the third a series suggesting how we know we know words, the fourth an exposition of what we can meaningfully say about the nature of meaning. These first three sections, in effect, seek to ask the student to look at his experience with language before accepting his own or someone else's theoretical view of what language must be like. When he does look in this way at his experience, he can then draw more reliable conclusions about the nature of meaning than most of us have generally drawn. The last two sections of the student packet encourage him to draw and apply some of these conclusions: first, negative conclusions about meaning, e.g., meaning is not an object for which a word stands and meaning is not something privately assigned to a word; then more positive conclusions, that the meaning of a word is the conventions for using the word, that knowing a word's meaning is knowing the conventions for using it.

Thus our chief goal in this unit is to guide the student through a systematic investigation of "meaning" which is true to his experience with the language. Each exercise is a step in that investigation. As we ask students to observe and think about word meanings in various situations and contexts, and to examine different methods of definition, we seek to build an awareness or perceptiveness about meanings of words, to arm the students with tools of definition, and to lay a groundwork for more meaningful thinking, writing, and reading.

The insights with which we hope to arm the students derive principally from the work of twentieth century British philosophers, among whom Gilbert Ryle, John Austin, and Ludwig Wittgenstein, particularly Wittgenstein, have been most important for our purposes. Thus the last section of your packet contains a good deal of background information derived from the writings of these men, background information which is not in the student packet, and which probably cannot profitably be given to the student in lecture or essay form. Except for this rather full background section, your packet for this unit is organized in roughly the same way as the student packet is. For each of the sections in the student packet, your packet contains a running commentary on the questions and exercises in the student packet, as well as occasional suggestions for additional classroom activities. The last exercise in each section is a series of composition assignments.

You will have surmised by this point, and correctly, that this unit takes a thin slice of the seventh grade dictionary unit--the section on meaning, moves it front stage center, and develops it in considerable detail. It also serves as a useful foundation upon which to build the ninth grade unit entitled "The Uses of Language" and the introduction to logic contained in the tenth grade unit entitled "Rhetoric of Exposition." In making the student aware of how his words work and of the different roles a single word can play, we also seek to sharpen his perceptiveness of inadvertent nonsense in his own or other writing, to make him aware (for example) of the difference between a snow job and impressive meaningful writing. And in this way we build directly toward the ninth grade unit entitled Rhetoric, as well as toward the rhetoric units of the later grades. Since the unit does seek to sharpen the student's nose for nonsense, it should also prove useful in studying most of the language and composition units in this and later grades. Thus aside from the extra-curricular reasons urging its careful study, there are sound curricular reasons as well.

II. Suggested Procedures

A. Introductory Exercises

1. These exercises, like all of the exercises in the unit, are designed for class discussion, not for composition assignments. Further, if the students were asked to write out the answers to each exercise, the burden of the unit would probably block out whatever illumination might otherwise be in it. Yet, unless the students have given the exercises considerable thought before attempting to discuss them, their discussion is likely to be a waste of time. And unless they do write out the answers they may well not give the questions the sort of thought they warrant. So you're damned if you do and damned if you don't.

One way out which would ultimately benefit the student far beyond the limits of this unit would be to encourage him to occasional pen and pencil meditations. In teaching the student to make notes, we usually suggest that he do so to find out what other people--his teachers or the authors he reads--think, but we very seldom teach the value of making notes to think himself. And this is an opportunity to do that. Thus you might assign a particular block of exercises for discussion next time, ask all of the students to prepare to answer all of the questions, and ask each of the students to write out an answer to one of the questions. These written answers can be read to the class to begin the discussion of each question--a (hopefully) clear and thoughtful attempt to identify the problems raised by the exercise, the answers to the questions, and the point of the exercise. Since these are urged as exercises to help the student do some systematic thinking himself, the written answers probably should not be collected for grading, although students might be encouraged to exchange them for refutations or rebuttals. They may instead be profitably left with the student as a suggestion that although as a student it is important for him to turn assignments in to teachers, as a responsible and educated human being it is far more important for him to engage in sustained and disciplined thinking, i.e., careful writing.

Exercise 1:

The assumptions which we commonly make about meaning can be exemplified from many, many different sources. Here is one example which Ludwig Wittgenstein quotes from St. Augustine, Confessions, I. 8:*

> "When they (my elders) named some object, and accordingly moved towards something, I saw this and I grasped that the thing was called

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* (Philosophical Investigations, Basil Blackwell, Oxford, 1963, p. 2e).

> by the sound they uttered when they meant to point it out. Their intention was shewn by their bodily movements, as it were the natural language of all peoples: the expression of the face, the play of the eyes, the movement of other parts of the body, and the tone of voice which expresses our state of mind in seeking, having, rejecting, or avoiding something. Thus, as I heard words repeatedly used in their proper places in various sentences, I gradually learnt to understand what objects they signified; and after I had trained my mouth to form these signs, I used them to express my own desires.

And here is another example, one taken not from the fifth century but from the twentieth century, and one taken, moreover, from the work of a reputable scholar:

> One of our commonest and most important questions in listening or reading is "What does he mean by that?" And in our own speaking or writing we often wonder "Will they see what I mean by this?" In speech we may repeat a remark in different words if we are not understood; in revising a paper we can change words or phrases to make our intention more nearly unmistakable. In speech our tone of voice does much of the work of indicating what we mean, but in writing our words need to be picked more carefully, because there is nothing else to carry the meaning.
>
> ### The Nature of Meaning
>
> The meaning of words is studied in the division of linguistics called *semantics*. A complete study of meaning involves other fields, too, especially psychology and philosophy. In spite of a great deal of study by specialists in recent years, we do not have a generally satisfactory theory of meaning, but there are a number of particular ideas widely agreed upon. In this short account we can only suggest some of the points of semantics that are obviously useful to a writer.
>
> Strictly speaking, words have "meaning" only as they are used in particular statements. They can be studied individually, but as they are recorded in a dictionary, for instance, they have only typical or possible meaning. One way to show that meaning is *not in the word* is to consider some words that are used in several senses: What is a *knot*? a *cut*? a *seal*? a *play*? What do you do when you *play*, or *strike*. or *fly*, or *fall*? A *knot* may be a tie of some sort in a rope, a group of people, a spot in a board, a tough problem, the measure of a ship's speed. Which sense was intended is usually clear from the sentence in which it is used--that is, from the *context*. It is so hard to tell how much we understand from a given word and how much from its context that it is not very profitable to consider the meaning of isolated words.
>
> The meaning of a statement, then, is in a situation; it is the consequence of the statement and is the result of several factors, of which the most important are: (1) the speaker's intention and attitude, his past association with the words, his knowledge of or experience with the thing or idea the statement is about; (2) the typical use of the words by people who speak the language, the associations the words are

> likely to arouse; (3) the listener's attitude and his associations with both the words and the subject; (4) the object or situation or idea to which they are referring. For convenience in a brief discussion of meaning we will begin with this last factor, taking as the core of a word's meaning in a particular statement *what it stands for to the speaker or writer, listener or reader*--what in their experience or imagination or feeling it refers to.
>
> The object (or class of objects), act, situation, quality, idea, or fancy to which a word refers is called its *referent*, and by representing this referent for many users a word gets a *core of* meaning, its *denotation*.
>
> The dictionary definition of chair--"a seat for one person, usually with four legs and a back"--is not the meaning of the word but an attempt to get the reader to picture a chair in his mind. This is fairly easy when the referent is a chair, or another *thing*, especially some thing the reader has already seen. But when the referent is intangible, like *light*, or abstract, like *beauty*, not only does the definition become more difficult, but the variability of meaning among all speakers and listeners, writers, and readers, increases. The following three classes of words will show this varying definiteness . . . .*

The passage is quoted at such length because it represents concisely and well conventional treatments of this subject. Further, most English teachers have found Professor Perrin's book invaluable at times, and even this passage is sometimes meaningful in the way Professor Perrin intended it to be. Yet we keep slipping into nonsense statements in it. Again we have an instance of someone who recognizes some of the problems arising from his assumptions about the nature of meaning, but continues to cling to those assumptions. After presenting many reasons why a symbol-referent view of meaning is inadequate, Professor Perrin settles back into it anyway, and is thereby led to speak of a "referent" for words for which there are no "referents". His assumptions lead him to make nonsense statements. And notice that he cites examples only of nouns and verbs, and in his subsequent elaboration (omitted here), he considers only nouns. What of function words? adverbs? adjectives? He recognizes that all words are not concrete nouns, yet in his treatment of meaning seems to assume that all meaningful words are nouns. Sometimes when this view of the nature of meaning is presented, it is accompanied by a diagram,* which makes the assumptions still more clear:

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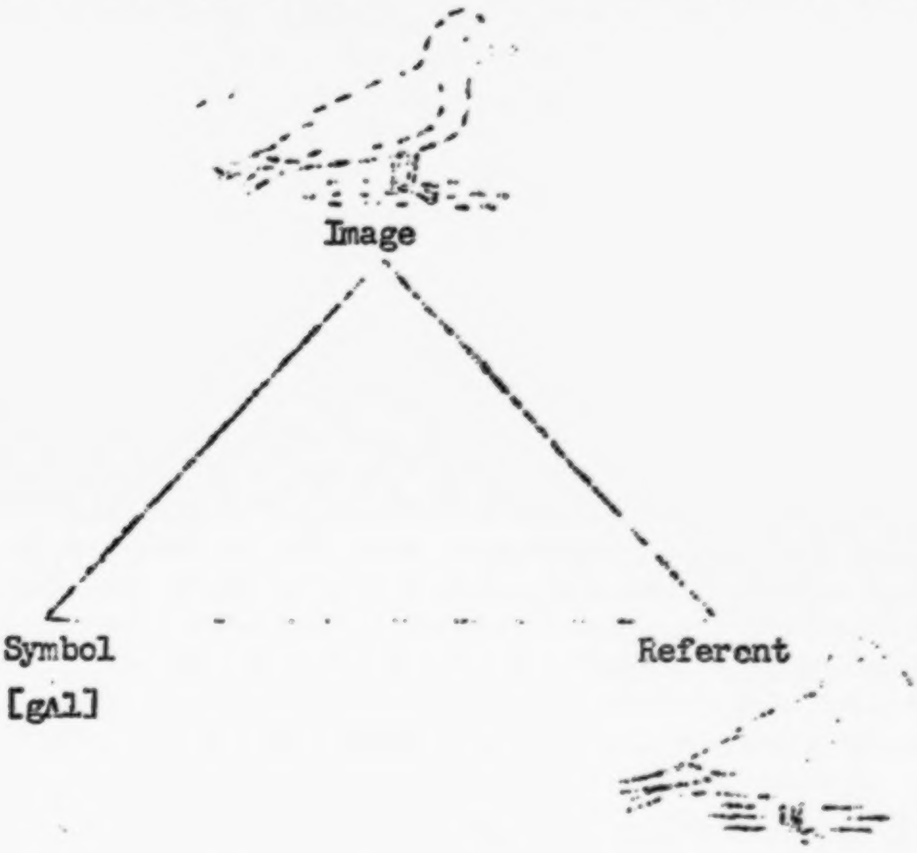
* From *Writer's Guide and Index to English* by Porter G. Perrin. Copyright 1959 by Scott, Foresman and Company, Chicago.



Notice how the assumptions in these selections differ from those of the four year old. The four year old assumed that the word "pants" could only be used for those things, pants (trousers, slacks, jeans). But Augustine and Perrin and we ourselves and most people tend to generalize this assumption to a more basic assumption. We are likely to assume, in effect, that all words are words like "pants," or "bird," or "cup," i.e., words for which in some uses one can point to a thing "for which the word stands." In short, when we think about meaning, we tend to treat all words as if they were concrete nouns, to speak of the "referents" of all words. Nor is it only when we think about meaning that we do this. Watch parents consciously trying to teach the language to very small children; what kinds of words do they "teach"? Or look at popular treatments in stories, movies or plays of the problem of learning a second language: what kinds of words appear to be taught? And how did the authors of "Notes on the Short Story" treat the phrase "the short story"? And how did the lawyer treat the phrase "I could kill you"? The answer in each case is "concrete noun" or "like a concrete noun."

The diagram reprinted above helpfully suggests a second assumption we commonly make, i.e., that there is some "thing" called a "concept" or "idea" or "mental entity" which goes with each word, some thing in the mind which goes with each word in the same way as some thing in the real world goes with each word. As there is a table one can see (the assumption is) to go with the word "table" so there is a mental entity, a concept or mental image of tableness, which goes with both of them.

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* From Simeon Potter, Modern Linguistics, Andre Deutsch Ltd., London, 1957. Professor Potter also treats meaning in the way that Perrin does.

Clearly, it doesn't take much reflection to show that this symbol-thing-concept model of meaning doesn't fit our experience. For example, reread the preceding sentence; there are twenty words in it. Accordingly, there should be twenty things in the real world to which you can point, but there *aint*. And, similarly, if you read the sentence carefully (which you did) and knew the words in it (which you did), you should have had twenty mental images flit by your minds eye, or at least had the experience of calling up twenty concepts to string together in a mental sentence (but you didn't). That is, the model clearly does not account for our experience with the language.

One way of insuring that the student avoids the misleading model--or loses it if he has already acquired it--is to ask him to return again and again to his experience with language, particularly to his experience in acquiring language. This is a way of keeping his feet on the ground when the abstractness of thinking about meaning beckons toward confusion, a way which will prove as useful to him when he is studying freshman English in college or taking seminars in philosophy for his Ph.D. as it is in the study of this unit. Further, if in this return to experience, one recalls many kinds of words--words like "of" and "moreover" and "wow" as well as words like "gull" or "table," the likelihood of arriving at an overly simple model of meaning is considerably reduced.

These, at any rate, are the assumptions of exercise 1. Presumably the students will be familiar with all of the words in the exercise and can conjecture about where they learned the words. The categories of the "Sources" in this exercise are rather important, since they run throughout the unit: questions b, c, and d in exercise 1 indicate that the categories are family, friends, and teachers. You'll probably find it necessary to treat these categories as very elastic, particularly the last. Many many different sources do in fact serve pedagogical functions, not only the teachers and textbooks the student learns from in the classroom, but also the reference works, e.g., the dictionary, he uses there; his extracurricular reading; his minister, or priest, or rabbi; his dance or music or swimming tutor; and even, upon occasion at least, the radio programs he hears or the movies or television programs he watches.

As the student sorts out the sources of the words he knows among those given in exercise 1, a pattern will begin to emerge, for each source tends to pattern both with an age and with certain kinds of words. In the home, he learns as a very young child, and learns familiar words, for instance, function words like "on" and "to," and words like "today," as well as concrete nouns. On the playground, when he is a bit older, he learns expressive words like "dummy" as well as words associated with games. And in school when he is older still, he learns words like "synonym" and "fable." This pattern, however, should at this point at least be left implicit for the student, because it is only a pattern of tendencies. It will not do to give it to him as a scheme of how things are. For he may well learn to use the relatively long and learned abstractions at home at an early age or from his playmates, and on the other hand learn simple grammatical words ("toward" "despite") in the study situation.

He might usefully be led, however, to identify these four aspects of each situation--the *who*, or source, the *when* or learning age, the *how*, or method of learning, and the what or kind of word learned. The classification of the what is particularly complex and troublesome, which may account in part for our tendency to treat all words as if they were one kind--concrete nouns. The best way to avoid oversimplification and cross ranking is probably to use the parallel example. That is, lead the student to classify by citing similar words rather than by applying a label. Thus he might classify "amen" as a word like "hallelujah," and something like "so long" or "see ya," and he might classify "to" as a word like "of" and "nevertheless," and "apple" as like "table," "cup," and "envelope."

Exercise 2^+:

The plus sign indicates an exercise of more than average difficulty. If this were a very, very difficult exercise, two plus signs would be added. The exercise is only a little difficult, so it rates only one plus sign. It is so because students may fail to focus on these five situations as learning situations, and thus fail to see that the element in common in the five situations is that a child learns the use of a word or phrase (more or less) simply by being around other people who are using the word. One mistake might be that in each situation the child makes a mistake of sorts, and you can usefully draw the students' attention from such an observation to the main point by dwelling on the mistake of the first (the salt cellar) situation in exercise 2a. The laughter of the parents may well be instrumental in correcting the child's use of the word "salt," in teaching him more about the use of the word; pointing this out can prepare for exercises 14-22.

Similarly the principal contrast between the situations in "a" and the later sections of the exercise may be elusive. In "b," for example, situations i, ii, and iii all seem to involve a mistake of sorts. But the brighter students should land rather quickly on the fact that more than exposure is involved for here the child gets an explanation of a word. So, too, with the situations in "c," but here the explanations are written explanations, and with the situations in "d," but here the explanations involve concrete examples.

Exercise 3:

This exercise may be superfluous, yet it may serve well to draw the first two exercises together. There are several correlations the students might be inclined to make: source to learning age to method of learning to kinds of words learned. Again the three sources (family, friends, and teachers) may seem to correspond nicely with learning ages (babies, kids, big kids) and methods of learning (exposure, example, and verbal explanation), and even with kinds of words (familiar words, slang words, and learned words). But such neat patterns distort the facts, and if the students set up such patterns, they should be led to break them down again, to give due attention to the exceptions. The situations in exercise 2 which exemplify methods of learning have been rather carefully selected to preclude such neat patterning; all of the methods do occur with all of the sources, for example. Thus, while it may be helpful to the student to talk about source, learning age, method of learning, and kind of word learned, and the correspondences between these, yet he should keep the correspondences flexible enough to be true to his experience with the language.

A second preliminary conclusion which might begin to emerge in discussing correspondences is the relatively small number of concrete nouns. The method of learning from example applies most clearly to this kind of word, although it applies elsewhere as well /Cf. "What's skipping?" "This is skipping" (skips)./, as the student may see in discussing question 2d. If it doesn't come out here, it will have a chance again in later exercises, so it need not be pushed. It may be that in answering question 2e, where the student is asked to list other words learned by exposure, by explanation, by written explanation, and by example, the student will reflect our age old bias for the concrete noun, listing only concrete nouns. If so, perhaps one should be content at this point with eliciting many other kinds of words.

A third preliminary conclusion is the importance of the home-exposure situation: most of the words we use most frequently throughout our lives are acquired in this way. A corollary is the relative unimportance of the teacher-explanation situation, particularly use of the dictionary. Since it is in such situation that we play our small part in influencing students' vocabulary we have long tended to exaggerate its importance. And it may be that the format of the dictionary itself, given our overemphasis of it, has played some part in inculcating a belief in the existence of a words's meaning as a thing. In the dictionary we can find the word and "its meaning" side by side; we can even point to "its meaning." But as subsequent exercises suggest, the phrase "its meaning" is a misleading one, and to think of the balance of the dictionary entry as "the meaning" which corresponds to the word is to misunderstand the dictionary entry. Perception of the relative unimportance of the dictionary in our learning of words may forestall this misunderstanding.

A fourth preliminary conclusion may also emerge here, although if it doesn't, it needn't be pushed. That is the relative importance of teacher situations (whether exposure, example, or verbal explanations are involved). That is, in relation to our whole vocabulary, teachers are relatively unimportant, most of the words we frequently use are acquired elsewhere. But in acquiring knowledge in almost any specialized area, learning vocabulary is overwhelmingly important. And this learning is usually acquired by study of the various sorts of teachers.

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B. Investigation 1: Where and How We Learn the Meanings of Words: Ages and Contexts

This second block of work for the unit selects some of the ideas dealt with in the introductory exercises and asks the student to reconsider them in more detail. This block focusses for pedagogical efficiency on the age-source correspondence, but for accuracy must also consider other things, such as the methods of learning involved. Similarly, in the third block of work (Investigation 2: How and Where We Learn the Meanings of Words: Methods of Teaching and Learning) the focus is on method, but for accuracy other things have to be brought in as well.

Exercise 4⁺: Baby Talk

The kids may be embarrassed at having to study baby talk, but if we had studied it the way Mrs. Weir has, we could have cleared up many adult confusions, as well as shot down several elaborate but misconceived theories about language learning, language meaning, and child psychology. The book which is cited in this exercise, Ruth Hirsch Weir's Language in the Crib, (Mouton & Co., The Hague, 1962), is rather too sophisticated and technical for junior high students, since Mrs. Weir applies an advanced linguistic analysis to the recorded soliloquies of her small son. The book would, however, be a good one to have in your teacher library.

The fourteen utterances quoted in this exercise are in the same sequence as Anthony put them when he made them, and they are complete as he uttered them--no words or utterances have been left out. One most important feature of this record is the context and purpose of the utterances. The child is alone and "talking to himself." That is, the language is not serving any communicative function; further, that the child apparently quits talking to himself in this way when his command of the language is sufficiently advanced, and the nature of what he says in these soliloquies both suggest that he probably is not "talking to himself" as we might do when frightened or when concentrating or when recalling things that we have learned. That is, this seems to be non-referential language, and even words which might be used referentially ("glasses," "desk") in other contexts are not used referentially here.

This may be troublesome for the students. They will readily perceive that some of the utterances clearly are "meaningful" (1, 3, 5, 6, 7, 8, 9, 12) and some clearly aren't (2, 10, 11, 13, 14). But this may mislead them. That some sentences are "meaningful" may suggest that the child is using his language referentially. One may need to point out that the "meaningful" and "meaningless" are mixed, are used alike, and serve the same function. That is, the "meaningful" are used like the "meaningless," non-referentially. In short, the meaningful utterances are simply grammatically complete utterances, they are not used differently. Thus the importance of the context of Anthony's soliloquy. If it were the living room, and the child were thinking of taking his father's glasses, and he said to himself or to another, "Don't take Daddy's glasses," then the utterance would be "meaningful" in the way its grammatical completeness may suggest it is here. But that is not the present context; instead, the child is alone, in his crib, going to sleep, and mixing the grammatically complete with the grammatically incomplete. He is not communicating; he is simply playing with the patterns of the language, and thereby (whether purposefully or not) extending his command of the language.

A most interesting feature of this play with patterns is that he seems to try out variations of the patterns, and, when the variations are not acceptable, sometimes he even seems to correct himself. It is as though by exposure to the usage of his family he had acquired a sort of mental record of how words and sounds and words are put together, tried putting sounds and words together himself, and when his sequences didn't fit the record, corrected them.

His play is in effect much like the pattern practices used in modern language courses to teach a second language. The child gives himself pattern practices, as it were, with sound, grammar, and meaning. Thus he seems to be playing with the alliteration of "d" sounds, particularly in the first utterance ("Don't . . . Daddy's desk"), which Mrs. Weir suggests may account for the grammatical irregularity of the omitted conjunction. Similarly in the fourteenth utterance, he seems to be repeating the sound pattern of a stressed syllable followed by -ie.

The grammatical irregularity of the first utterance is corrected apparently in the fourth, but the irregularity of the third (which is again an alliterative sequence) isn't. The fifth, sixth, seventh, eighth, and ninth utterances are particularly interesting grammatically. Five through eight all begin with "Don't". It is as though the child were trying to see how many things can follow "Don't." Then six, seven, and eight all begin "Don't take," as though he were now wondering how many things can follow "Don't take." And he tries NN ("Daddy's glasses"), pron. prep. ("it off") and Nprep ("the glasses off"). Then in the ninth utterance, he seems to ask "What else can precede "glasses"?"

As he plays with patterns of sound in 1 and 3, and with syntactic patterns in 5 through 9, so he seems to play with meaning patterns in 7 and 8. It is as though he asked himself "What does 'it' mean?" and answered "the glasses." Later, of course, he will see that "it" isn't often used to mean "glasses"-- "them" is.

He might also be playing with meaning in the last utterance since the three words he repeats here all mean in the same way: all are concrete nouns, things he sees in his home, and things of which he is quite fond (even his dog, a mailman biter that got along very well with Anthony).

Exercise 5:

This exercise substantially repeats exercise 4. You may wish to repeat the discussion, to leave the exercise solely for individual student analysis, to save it for test purposes, or, if the students handled exercise 4 readily, to omit it entirely.

Exercise 6: Kids Say the Darndest Things

In moving to this exercise, we move from the language of a two year old to that of kids from three to ten. The age, of course, is less important than what the kids are up to. And in the three situations presented in parts a, b, and c, the kids are up to several different things. All of the sections of this exercise extend the student's understanding of what it is like to learn words simply by being around people who use them. In situation "a," the socks on incident, the child has apparently taken the form "socks on" as a single word "soxon." His age as well as the nature of his error suggest he has picked up the form simply by exposure to it, and not yet identified this occurrence of "socks" as one without the preposition following.

That the kid makes a mistake here is fairly important, and the means by which he comes to recognize this is also important. In later exercises we suggest some of the limitations of learning by various methods, asking in effect, "how does learning by this method go wrong and how do we compensate for this?" And situation a in this exercise, as well as situations b and c, suggest an answer to that question as applied to learning by exposure. Here the boy seems to generalize one use too far and to mistake it for more than one use. He assumes that this toe is a place where "socks" occurs with "on". One fact of the exposure method, then, is that it requires a kind of trial and error process, and one in which the errors are not all made in the privacy of the crib.

The boy in this incident is in a way in a position like that of the two year old Anthony, who tried an unusual grammatical form, then corrected himself. But here we don't see the correction. And here the boy is trying the form not in the privacy of his crib, but in the very real and public world of irate mothers. This explains the importance of the way he probably came to see that he had made a wrong move in the language game. It fairly clearly is not a matter of his having checked the meaning of the form "on" against his mental entity corresponding to that form and thereby recognizing that he had used the form "on" incorrectly. Instead it is more likely to be that his move in the language game produced an undesirable response in his mother. What he said made her mad. And that's a powerful reason (probably) for trying not to do it again, a reason for correcting what he said. Here one can make the point that language is not a mysterious and isolated part of man's mind but rather part and parcel of his total behavior in a context of people and things, a particularly useful point since the use of gestures and the responses of others to one's moves in the language games become rather important in later exercises.

Situation "b" in exercise 2 again presents an instance of a child, or rather of two children, going wrong in learning by exposure. The initial focus of the students is likely to make is on the use of exposure by Dawn as she acquires the word "Amen." And this is an interesting focus, because she apparently generalizes the use of the word. Heather kept the ritualistic and declamatory resonance of the word, as well as its function to terminate utterances, but Dawn seems to generalize it, losing the ritualistic and declamatory and using the word only to end utterances.

The more interesting focus, however, is probably on Heather, for here one can suggest the importance of more general activities in determining the roles we give our words, as in the preceding situation one could suggest the importance of the responses of others. And what Heather does is to take a word which is usually restricted to the language games of religious worship and generalize it for use in the play situation.

(This use of the phrase "language game" in no way implies any disrespect for religious worship. It is a phrase coined by the British philosopher Ludwig Wittgenstein. And in this (and his) use the associations of entertainment, frivolity, and pretense which "games" often has are irrelevant. The intention of the phrase is rather that we use words according to semantic conventions as well as according to grammatical conventions. These conventions comprise many different language games, and, as many different tools fill a tool box, so these many different games comprise the language.

We have, for example, several conventions for asking someone else to do something, ranging from "Shut up" to "John, dear, you'd see much better with the lights on." Or, for a second example, in religious worship we say certain kinds of things in certain kinds of ways, often either using distinctive words or using words in distinctive ways. There are, that is, generally recognized public conventions for using language in religious worship, or, one might say, there are rules for such a language game. These rules or generally recognized public conventions are part of the total context of the particular use of language--public or private worship, prayerful physical and mental postures, etc.

Similarly, consider the different language games in which one might use the word "baby"--expressions of disapproval, of conjugal affection, of medical discourse, etc. The language game is the conventions of things to say and ways of saying them in a given context.)

The last question in this exercise poses a peculiar but by no means unique problem for the student and offers you an equally peculiar opportunity. This unit generally seeks to sharpen the student's nose for nonsense, and a good deal of nonsense is often involved in questions. This question is a case in point. The student in effect has to make the question make sense if he is to answer it. An intelligent answer to the question would very likely be "I do not know, because I do not know what an answer to this question would look like. Would it be the name of a part of speech? or a definition? or an etymological cla ss? or something like 'little word'? or what?" One might well encourage the student at this point to criticize the responsibility with which the question was framed, and to habitually read questions in this way. Since students generally are severely discouraged from such criticism (if only implicitly), this might be a rather difficult thing to bring about. But before you make sense out of the question for the student it would be well at least to suggest that this is what one does have to do with it.

One way of making sense out of the question is to suggest that the answer would look like "'out' is a word like 'safe,' 'walked,' and 'home' as used at a baseball game."

In the Art Linkletter definitions in situation "c" we again apparently have illustrations of the problems encountered in learning by exposure. Here, however, the error the children make, if it is an error, is not to overgeneralize the use of a word, but rather to overspecialize it, for they define a word which has many uses as though it had only one. Three considerations, however, complicate this rather neat analysis. The first is that we are no longer in a use situation; instead, the children are asked to define a word. This situation pretty clearly throws many adults, particularly philosophers and English teachers, for a loss, and may well be equally distorting when we try to draw conclusions about children's use of language from it. The only valid conclusions one might draw from it concern the children's use of definition. And this introduces the second complication. If the children are only trying to define by describing a particular context in which one would use the word, then their ability to use the word may be in no way represented by the apparently naive limitations they seem to give the use of the word in their definition. And third, perhaps the most interesting complication: this is suggested by the last question in the exercise: What if the children are merely trying to be cute? That is, defining on the Art Linkletter show is a language game, and the child might well have acquired the rules for the game either by listening to the show before he appeared on it or even by hearing other children play the game immediately before him on the show and observing the audience response to the good and bad answers. The good possibility of this being the case offers an opportunity to suggest the combined importance of context and audience response in determining what we say and how we say it--in determining the language game we play and hence the roles we give our words.

The second question in this exercise might again seem to the student to involve some nonsense, for here we begin to suggest that there is often no difference between the meaning of a word and the conventions for using it, that knowing the meaning is simply knowing when and how to use it. We begin here, that is, to suggest to the student that there is no thing called a meaning which the child learns. If this proves troublesome, let it ride; later exercises give ample opportunity to bring it up again.

Parts d, e, f, g, h of this exercise proceed rather differently than parts a, b, and c did. Instead of dealing with the experience of others, these parts of the exercise ask the student to look casually at his own experience. But they all continue to suggest something more of the nature of learning words and the meanings of words. Part d, for example, presents five groups of words--first words used in children's games, second words used in the English game cricket, third words used in chess, fourth words used in music, and fifth French words. Presumably, only the first group will be familiar to all of the students. The reasons for the unfamiliarity of the other groups should prove instructive: groups ii and v probably would have acquired by exposure if the students had lived in England or France. If any of the students do know them, they probably acquired them by oral explanation or study or both. Similarly, if the third and fourth groups are known, they will probably have been acquired by study or oral explanation or both, but unlike groups two and five, groups three and four probably could not have been acquired by exposure: they are technical and highly specialized terms. In short, two conclusions can be drawn: one cannot learn by exposure what he's not exposed to, and technical and learned terms--the vocabulary of intellectually specialized knowing and doing--are seldom learned by exposure.

Part e picks up and reinforces the earlier suggestion that there is no "thing" called a meaning which the child learns. It seeks by means of a comparison of the familiar use of a word and the unfamiliar use of the same word to suggest that what the student learned in "learning a word" was not "a meaning" and not "the meaning," but simply the conventions for a single use of a word. The implication is that in learning by exposure we do not simply "learn a word" but often "learn a word many times": that is we learn several different uses of the same word. Parts f, g, and h of this exercise pick this up, reinforcing it in various ways, and it may be that some of these parts of this exercise will prove superfluous.

Exercises 7^+, 8, and 9^+:

These three exercises substantially end the second block of work in this unit. You may wish to have each student individually do all three exercises or you may wish to parcel the exercises out to students who can most conveniently do them, or put committees on them, or make the class a committee of the whole for each exercise. Before anyone does anything, however, you will probably need to have a rather thorough preliminary discussion of exercise 7. This should traverse again the procedures and questions, amending them according to the insights and needs of the class. The questions (part b in each exercise) should particularly be emphasized, first because one can thereby sharpen the student's observation and second because one can usefully supplement them. For each question, special care should be taken to show what an answer might look like. The questions regarding the kinds of words involved are particularly in need of this kind of clarification.

Since this is the end of the second block of work in the unit, it would be appropriate to give an essay assignment here. And the observations and conclusions the students make in these three exercises should supply subject and substance adequate for essays. One can use exercise 7 for class discussion, exercise 8 for a short essay, and exercise 9 for a longer essay summarizing all three exercises. Whatever combination best fits your schedule and the class needs, the results of the three exercises should be thoroughly discussed to draw together and summarize the implications and conclusions of this section of the unit.

Exercise 10:

This last exercise, a sort of pigtail on this block of work, will come in nicely after exercise 7, while 8 and 9 are being prepared. It is supposed to clarify the nature and importance of the dictionary and dictionary meaning entries in the light of the answers to the preceding exercises. These exercises have suggested that most of the words we use most frequently don't come to us from the dictionary at all, that the part the dictionary plays in vocabulary building in relation to the size of our whole vocabulary is pretty small indeed. Most of the words we use most frequently come to us instead from hearing certain noises as they accompany actual situations in life and associating these noises with certain situations. We learn to interpret language by being aware of the happenings that accompany the noises people make at us--by being aware, in short, of contexts.

Even though the students may have come to recognize this from the preceding exercises, it is not at all unlikely that some of them will continue to regard the dictionary as the supreme authority in matters of meaning, particularly if they have already in earlier grades been given the traditional treatment. If they haven't had the Dictionary unit from grade 7, you may have your work cut out for you. Most of us recall with a shudder the "vocabulary lists" in our academic pasts. Often our teacher handed us long lists of words to accompany a novel, essay, or other reading or simply to put iron in our blood, and with this "vocabulary list of the week" instructed us to "look up these words in a dictionary and find out the meaning of each." We can recall, too, the difficulty we had in deciding which dictionary definition to place beside the word on our paper, usually settling for the definition marked with the big 1. We may have been required to hand in these lists with their accompanying dictionary definitions, or as a test of our dictionary diligence, we might have been asked to use the words with their newly discovered meanings in sentences. It was not until years later that as teachers we discovered the near impossibility of "correcting" such a test as this. Well-meaning teachers thought to improve and to enlarge students' vocabularies in this way, acting on that universal belief that there was that "thing" the meaning, the one true meaning that every word had. That all this was confused is now clear, but we learned the confusions, too; the treatment was effective on us, and it may already have been on your students, too. Even if they have had the Dictionary unit you might well review that unit. And if they haven't you might recall for them the implications of how dictionaries are made.

When we stop to think of how dictionaries are made we quickly realize that there is no warrant in the dictionary for the assumptions popularly made about it and its functions. Clearly the editors of a dictionary merely record the ways in which a word has been used. The dictionary editor cannot be influenced by what he thinks a given word ought to mean. Therefore, the writing of a dictionary is not a task of setting up authoritative statements about the "true meaning" of a word, but a task of recording to the best of the editor's ability what various words have meant to speakers and writers in the distant or immediate past. The writer of a dictionary is a historian, not a lawgiver. Thus it is that a dictionary written before the 20th century might very well have defined "uranium" as a worthless metal, or "broadcast" as a word meaning to scatter seed, but with the advent of atomic power and the radio, uranium and broadcast have come to have very different meanings. Or, as S. I. Hayakawa has pointed out, looking under a "hood" today we find a motor car engine; five hundred years ago, we should ordinarily have found a monk. To regard the dictionary as an authoritarian prescription rather than a descriptive authority is to credit the dictionary writer with gifts of prophecy which neither he nor anyone else possesses, and to saddle lexicographers with responsibilities they don't want and cannot discharge. In choosing our words when we speak or write, we can be guided by the very generalized historical record afforded us by the dictionary, but we cannot be bound by it: new situations, new experiences, new inventions, and the very particularity of even those situations and experiences which are not new are always compelling us to give new uses to old words. Neither we nor our students nor anyone else do restrict our usage to dictionary definitions. And to believe the dictionary does what it can't may well be to confuse what it can do. In its context, the functions the dictionary can serve are invaluable for the problems we face with word meanings. And this exercise seeks largely to make clear just what that context is and what those functions are.

Thus the first of the sample entries in part a of this exercise probably is not very helpful to the students. They will presumably understand all of the uses of "such" in the paragraph which opens part a (the uses are in the same sequence as the definitions in the dictionary entry), and they will probably understand even the last two uses in the paragraph and the one in question v--which aren't in the dictionary at all. You might need to emphasize the descriptive nature of the dictionary again when the students get to questions iv and v, and to reassure them that all of the uses and descriptions of uses are "correct." For the more advanced a better approach may be to point out that it does not make sense to ask "which is correct" unless there is some standard of right and wrong. Further, if the dictionary mystique runs pretty high in the class you may also need to reemphasize the large number of words and uses of words (like "such") that the student acquired without the dictionary--the small part the dictionary plays in our acquiring of our native language.

Part b of this exercise seeks to demonstrate more positively the valuable if restricted functions of the dictionary. When we encounter words we don't know, we can look them up. And if this sounds trivial when so baldly stated, it is still invaluable when badly needed. Thus the first sentence of Veblen's paragraph is chosen because it appears to be beyond the vocabulary attainment of most of the class. You may have to choose different sentences for some students. It's important for this exercise, though, that they do encounter words here which they don't know. When we look up words we don't know, we don't find "the meaning," usually, at least not in the sense of finding "the capitol" when we look up the name of a state, but we do find descriptions of uses, one of which (usually) is helpful. The way in which it is helpful is important. It tells us generally how the word is used, gives us enough help so that with our knowledge of the context in which we found the word we can get a rough idea of how it is used this time. The particular resonance of the word in context (the undesirability of being "archaic" for example) is picked up not from the dictionary, but from the context, or from the context in which we found the word and perhaps some awareness of previous uses of the word. Our understanding of the new word is thus not so much a matter of "learning a meaning" as it is of seeing a general description of a use of the word and a particular application of that description. The dictionary meaning entry is thus most helpful as a crutch when reading, and for that it is invaluable. But having looked up the new word, unless we see or hear it again soon, we are not likely to keep that new word. The dictionary per se is not a chief means of our acquiring the words or word uses of our native language.

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C. Investigation 2: How and Where We Learn the Meanings of Words: Methods of Learning and Teaching Various Kinds of Words

The series of exercises in this the third major section of this unit are, as the title of the section suggests, in a sense repetitive. But now the focus is shifted somewhat. The elements emphasized in the preceding section--ages and contexts of learning words--are moved to the background, and the background elements of the preceding section--methods of learning and teaching various kinds of words--move to the foreground. The methods of learning and kinds of words have been cropping up periodically in the preceding exercises, though, and thus require less elaboration here. But we can hope to refine the student's understanding of how he acquires his vocabulary. And further we can begin to make him more conscious of the techniques he has available to explain words to others. Thus the phrase "Learning and Teaching" of the title of this section reflects some of the ambivalence of the purpose of the section: to study the student's methods of learning and to improve his methods of "teaching."

This section of the unit serves directly to improve the student's skill as a writer, for the methods of explaining words are methods and devices he must command to write well, as well as methods which make him indirectly more aware of the resources of his words. The ultimate purpose of the section of the unit, however, is to teach the student more about the nature of meaning. As one can surmise something of the state and qualities of physical objects from the nature of the devices for handling them (cf. oil pipelines, water pails, straw forks, and ice tongs), so we can suggest the nature of meaning by examining the methods of learning and teaching various kinds of words.

Subsection A: Learning by Exposure

Exercise 11:

Among the situations relevant to question i in this exercise are the following: 2ai (exercise 2, part a, subpart i), 2aii, 2aiii, 2aiv?, 2av, 4, 5, 6a, 6b, 6d, 6dv, and 10a. In addition to the many function words and small common words which are clearly acquired in this way in most cases, one might also point to such special cases as "Amen" and the importance of this kind of learning (and of learning the particular language) in being or becoming a member of a group. Teenage slang probably passes from one to another in just this way, and only someone who is dreadfully old would ever ask for an explanation of such slanguage. Or, as Louis Armstrong is said to have replied when asked what jazz was, "Man, when you got to ask what it is, you'll never get to know." Much of the lingo of popular musicians or the jargon of specialized professions is often also acquired in this way.

In question iii one can usefully reemphasize the relatively small number of terms with which you can ask "What is an X?" And to suggest that for most other words--and they form the largest part of our daily vocabulary--one cannot speak sensibly of a "referent," one cannot see things for which they might be said to stand, one cannot explain them for the most part by example. Further, when we are acquiring these words ("please," "yet," "wet") we cannot yet handle verbal explanations. It seems quite likely, thus, that a good many of our most frequently used words are derived simply by being around people (or writers) who use the words.

Question v, particularly if most of the students are unaware of the "dictionary definition" of "amen" (so-be-it), is a particularly useful illustration of the sense in which what we sometimes call "learning the meaning" might more accurately be termed "learning the conventions for using the word" or simply "learning how to use the word." But as question vi is supposed to suggest, when we do learn simply from being around people who are using the word, there is seldom anything like "learning a meaning" involved. Rather we seem to learn to make a word, try it out here and there, and arrive at some notion of where it can be used without sounding funny or different from the way other people use it.

As a seventh question for this exercise you may wish to ask the students to review exercise 6, and summarize what that exercise teaches about the nature and limitations of learning words by being around people using words. The ultimate emphasis, however, should be on the importance rather than the limitations of this method of acquiring vocabulary. Since it is the only one which we cannot use to explain words to others, it, unlike the others which we will consider, does not get repeated in exercises or compositions. Yet it is probably the most important way by which we do acquire our vocabularies.

Exercises 12 and 13^+ repeat and reinforce in various ways the implications of exercises 6 and 11. In both, the author presents a problem arising from the different language experience of the characters in his story. In the exerpt from Huckleberry Finn, Jim's ignorance strikes against Huck's insufficient knowledge, and in the exerpt from East of Eden "Joe's" insufficient knowledge strikes the ignorance of Adam's family. In the latter exercise, Steinbeck's characterization of "Joe's" speech as in capital letters is particularly interesting, for it seems to present an instance of a kind of learning by exposure we haven't seen before--learning from reading rather than from listening. Whether this is or is not the case with "Joe" and the phrase "Operation of the Automobile," it is a way we sometimes do acquire words, as the presence of unusual spelling pronunciations in our speech may indicate. One may learn "facsimile," for example, by reading, with neither an example nor an explanation given; but in then beginning to use it in speech, one might well pronounce it as "fassimul" rather than as "faksimily": such pronunciations often signal a word acquired by reading--by exposure, perhaps, but not aural exposure.

The passage quoted from Steinbeck exemplifies one more aspect of learning by exposure--its effectiveness. "Joe's" speeches in this quotation include a good deal of explanation, including synonyms, contexts, and explanation by example. But all of his elaborate explanations fall flat: "They had understood not a single word." But the twins had understood something, and they had learned something, learning just by being around "Joe," learning "Just call me Joe," learning how to use this smart alecky phrase, learning something Joe was not at all concerned to teach.

Subsection B: Learning and Teaching by Example

The introduction to this unit suggests that this subsection is somewhat more important than it deserves to be. That is, in many conventional statements about the nature of meaning, one finds that words which one can learn or teach by example are taken to represent all words. This might be termed the picture theory of meaning, the theory that all words mean like "apple" and "table" mean in the sentence "The table was on the apple." The ease and pervasiveness of this theory makes this subsection an important one, and implies a rather different focus for it. Thus the exercises in it suggest the very severe limitations (as well as the effectiveness) of the method.

That is, the exercises seek to suggest that the instances in which one does or can use this method of explanation are in comparison to the number of words in our vocabulary, extremely limited, that the method can be applied only to some of the uses of these words, and finally that there are possibilities of going wrong even then. Such obviously are the purposes of exercises 14, 15^+, and 16.

The previous situations which the students should recall in answering question 14i include 2bii, 2biii, 2di, 2dii, 2diii, perhaps some of 4 and 5; for question 14ii, 2ai?, 2aii?, 2bi, 6a, 6c (gentleman), 6dii, and iii (pawn).

Exercise 15i may present a peculiar problem for very bright students. The question assumes the students will say that a child could have seen a table, a book, and a pipe. And if they do so answer, let it go at that. After discussing exercise 16, however, you might ask the students to compose sentences in which they use "table," "book," and "pipe" in as many ways as possible. Presumably you can then elicit such sentences as these:

> "Will the chair table the motion?"
> "What did they book him on?"
> "My old man makes book."
> "I never did get the multiplication table in mind."
> "Did the shepherd pipe a song?"

Then you can ask the students to go back to question 15i and reconsider it. One thing they may then observe is that the question might be improved, e.g., as "Are there non verbal things which we might call 'book,' 'pipe,' 'table,' etc.?

The problem the question may present for the bright students is that the question can be said to assume that a word is meaningful out of context, a flat contradiction of what the meaning section of the dictionary unit (and the whole of the present unit) teaches. But there is a context here, the context of the question in which these words here occur, and this context implies a progression from words used as concrete nouns to words used in other ways; further the words questioned are most frequently and familiarly used as concrete nouns, so the initial response of the students (if they chose to regard the words as concrete nouns) could be anticipated as a probable response: thus the words are used meaningfully here, and meaningfully because of their context.

With the phrase "internal combustion engine" (question ii) we begin to see the limitations of the method of learning or teaching by example. For many purposes pointing to an internal combustion engine is not going to suffice as an explanation; the object is just too complex. Let's say a man goes to work for the first time in a warehouse which has lots of big crates to be moved. He is told to go get an internal combustion engine. He asks which crates they are, and the foreman replies "That's an internal combustion engine over there." Here explanation by example works. But contrast this with the situation presented in the passage quoted from John Steinbeck's East of Eden. There the explanation doesn't suffice. The listeners cannot discern what an internal combustion is for their purposes just from looking at it, at least not in the way they could a table, for example. They must be told of its functioning, shown its parts, and told of its differences from other engines, e.g., steam or electrical engines. Thus even for ostensibly concrete nouns, the method of explanation by example may be inadequate.

In looking for different kinds of examples (15iii), the student may want to stretch the word "example" far enough to include all but function words and even some of them. Thus you may have to show the students that they are switching uses of the word. The first two words they have to deal with in this question--"hansom" and "theater"--can clearly be explained by pointing either to things or to pictures. These two words should serve as paradigms of words which can be explained by example, against which the students should test the other words. The word "remembered," for example, might tempt them to say "If I could not tell you when the Peter Rabbit show appeared on television, then it came to me, this would be an example of something I remembered." And of course this makes sense. But it is a different use of the word "example" from the way it is used for "hansom" and for "theater."

How do you show this to students? Ask them to consider the similarities between oranges and tangerines. Oranges and tangerines are very similar indeed, but we use different words for them; now consider the difference between a book of checks and a book of stories: they are very different, yet we use the same word for them. That is, there is a considerable element of the arbitrary in the fineness of the distinctions our vocabulary draws; we often use the same word for unlike cases and different words for like cases. In the instance of the word "example" it is an accident of the development of the conventions of the language that we can say we can cite examples of either "hansom" or "remembering." The accident, of course can be explained, is explained in the next section, but it remains an accident.

But in this accident lies a potential confusion for the students--the failure to see the differences between "example of hansom" and "example of remembering." To avoid this confusion the students should restrict what they call "examples" in this exercise to cases like "hansom" and "theater." If they can point to one or draw pictures of it or both, that is, if they can "explain" without using words, they can say it can be explained by example. By such a definition, only "hansom," "theater," "starry" "angel," "carried," "package," and "pie" can be explained by examples.

Different kinds of examples are simply things, (example$_1$) pictures (example$_2$), names of individual instances of things or pictures (example$_3$). There are also different kinds of cases which we can explain by example. There are cases of things, "hansom," cases of actions, "carried," and cases of qualities, "starry."

Exercises 16 and 17 should be obvious enough to the students, although you may need to clarify the difference between explaining by pointing to an example or picturing it (the last of which both dictionaries and other books frequently do) and other uses of "example" in dictionaries and other books. For example, consider the sentence "Any standard desk dictionary, for example, *Webster's New World Dictionary*, uses some pictures as part of their explanation of some words." The tag "for example" here clearly indicates that *Webster's New World Dictionary* is used as an example; but now "example" is shifting on us again. To name a case to which we can apply a term is clearly different from pointing to a thing to which we can apply a term. Dictionaries and other books sometimes name a case to which we can apply a term, and this is like what we have called "explaining by example," but it is not the same thing. It is not pointing to or picturing a referent.

Subsection C: Learning and Teaching by Verbal Explanations

We're finally getting into what many conventional accounts of definition spend all of their time on--verbal explanations. We consider four kinds of verbal explanations: explanation by synonym, equivalent phrase, description of context, and explanation by criteria.

Exercise 18:

In this exercise the students should recall particularly 2bii, 2biv, 2bv, 2ci, 2cii, 2ciii, 2dii, 6c, 10aii, 10bi, 12, and 13.

Exercise 19:

The nature of definition by synonym will be obvious to the students, presumably, once they have understood the stipulation that "synonym" here means only an equivalent word, not an equivalent phrase. Some of the implications of this kind of verbal explanation may not be equally clear to them, however. One possible source of confusion lurks in the sentences we often use to phrase such explanations. And from such a confusion, the student might be led to say the meaning of a word is its synonym." We might say, for example, "Melancholy means glum" or "The meaning of melancholy is glum." Such sentences initially appear to be very similar to many, many others which have a like grammatical form. We might also say, for example, "Buckram covers the book" or "The cover of the book is buckram." These two sentences grammatically seem to be just like the two in which we explained a word by synonym. It often happens that when we have this sort of grammatical similarity, we are inclined to think that there is some sort of similarity of meaning beyond the grammatical meaning. Thus in the case of a buckram cover and a book, one can say "There's the cover and there's the book, and they are two different things." Or of the sentence "The cover of the book is buckram" one can say "Buckram" and "cover" both refer to the same thing." The student might be tempted to handle "The meaning of melancholy is glum" in the same way. He might want to say "There's the word and there's the meaning, and they are two different things." Or he might say "The words 'meaning' and 'glum' both refer to the same thing." To say either of course is to misunderstand the nature of explanation by synonym.

To demonstrate this, one might suggest a sentence like "the front of the cover of the book is there, but the back is missing." Then try it on "The front of the meaning of the word is there but the back is missing." or "I gave the cover of the book to John but kept the book" and "I gave the meaning of the word to John but kept the word." These come out to be nonsense. That is, "meaning of the word" has very different conventions for its use than does "cover of the book." And one should not be misled by the superficial grammatical similarities into thinking the phrases are used alike.

One might also raise the question of the word with three or seven or fifteen synonyms: which is the meaning? Or the question of the word without a synonym: is it meaningless? Clearly not. That is, the synonym is not in any literal sense "the meaning."

More positively, one can suggest that in the sentences "The meaning of melancholy is glum" and "Melancholy means glum" we use a kind of shorthand. We can write the sentences in longhand by saying "The conventions for using the word 'melancholy,' which you may not know, are roughly the same as those for using the word 'glum' which presumably you do know."

The phrasing of question 19ii is supposed to suggest something of all this to the student, but if he doesn't tumble to it yet, one needn't push it.

It comes up again. There are two insights to which the student should arrive here, though, although both are rather less subtle than that just presented. The contrast between the effectiveness of explanations a or b (in 19i) and explanation d or f should suggest the first insight: that an explanation should be more understandable to the audience than the word which needs to be explained. This is not at all difficult, yet one might well dwell on it at some length anyway. It does introduce the role of the audience in communication, thus preparing for the use of this concept in the rhetoric units. Further, the fact that different explanations must be used for audiences of different linguistic sophistication again suggests that to assume there is one single meaning for a word is to make a mistake. Is the meaning the explanation you give to a fifth grader? or that given to an eighth grader? or to a senior in high school? or to a senior in college? The composition assignments at the end of this section of the unit ask the students to dwell on this by paraphrasing relatively sophisticated paragraphs for a relatively unsophisticated audience. You might dwell more on it here, and thus prepare for the composition assignment; ask the students to explain a single word to several different audiences, first for a first grader, then for a fifth grader, then for a ninth grader--and then perhaps for a senior in college.

The second insight to which the student should arrive in this exercise is suggested by the contrast between explanations c or e in 19i and the other explanations there. That is, sentences which look like explanations by synonyms may well not be used as explanations. In c, we have an obvious signal of this: the synonym is not a synonym at all, but simply the repetition of the word to be explained. Such a sentence very frequently is used to express anger, not to explain. Similarly, explanation e is fairly clearly a kind of self elevation on the part of the speaker, and a kind of face scratching for the listener: again the speaker may well not be concerned to explain.

One last point can be started in this exercise, parts vi and vii, but it need not be developed very far at this point. The student will quickly see that not all of the words underlined in 19vi have synonyms. And he may go on to the implication that to a considerable extent it is a matter of chance (or sometimes cultural experience--e.g., the many Arabic words for camel, the many Polynesian words for smells, the many Eskimo words for snow) whether or not a word has a synonym. But one may suggest further that different kinds of words work differently. The analogy of the game is again suggestive. In a Monopoly game, for example, one uses tokens, hotels, houses, and dice. All might be made of wood, all are handled--but one does different things with each. Similarly, in the language game of explaining words, there are different kinds of words, and one does different things with them, explaining some by a synonym, explaining others by other ways. It is true that ultimately the analogy does break down in one respect: there are some words which can be handled by any kind of explanation, e.g., the concrete noun "football." But the important point is that many words can be handled only by one or the other of the various methods of explanation which we are considering. The need to handle different uses of different words differently when we seek to explain them makes it clear that one cannot describe the nature of meaning of one kind of word (e.g., concrete nouns) and assume that we have thereby exhausted the subject. But this point is also developed rather gradually through later exercises, and the present exercise is not expected to carry the whole burden of it.

Exercise 20: Explanations of a Word or Phrase by an Equivalent Phrase or Clause: Uses and Abuses

These explanations work pretty much like explanations by synonyms and present some of the same problems. One might even have combined these two kinds of verbal explanation into one group, "Equivalent Words and Phrases." They differ from synonyms in using phrases or clauses instead of an equivalent word, but the explanatory phrase, like the synonym, can usually be said to be one for which the conventions of use are similar to the conventions for using the word being explained, although rhetorically it would be troublesome to use them as equivalent in many contexts. Still it is useful for our purposes to draw a distinction between synonyms and phrasal explanations. We need to make the point that to talk about the meaning of a single word, one may do several quite different things, so that ultimately we can make the point that there is no such thing as "the meaning." And we need to make the point that to explain different words, one may need to do quite different things, so that ultimately we can make the point that words don't all work alike.

In exercise 20, explanations a and b are intended to contrast with explanations c and d as explanations which are helpful and explanations which are not. If the slang in explanation a is now out of date, the explanation won't work that way, and you may have to rewrite explanation a. The explanations which are not helpful, c and d, might be intelligible, however, if one knew what a "pattern of aesthetic activity" was. That is, here, one might again make the point that the explanation must be more intelligible than the word or phrase being explained and that the intelligibility of the explanation is related to the linguistic sophistication of the audience.

The contrast between e and f makes a rather less significant point. One sometimes sees it said that such definitions as e and f are useless because anyone who knew what "omophagia" meant would know what "omophagic" meant as well. But explanation e suggests that this is not always the case with derivative words. Such explanations can be useful.

The contrast between explanations g and h is of a different sort, although here, too, one finds the contrast between a helpful explanation (g) and an explanation which is not helpful (h). But here it is difficult to imagine circumstances in which explanation g would be helpful.

To suggest why, one might best raise the question "Why would one want to define the phrase 'morally good man'?" It is not likely to be simply a matter of a word being unfamiliar (as e.g., "onomatopoeia" might be) or a conventional use being unfamiliar (as, e.g., "percolating" as explained might be). The words "man," "good," and "morally" are familiar, and they are not used in any unusual way. So why would one want to define the phrase "morally good man"? One might want to do it in order to distinguish for himself or others cases in which he would or would not say "there's a morally good man." He would thus be trying to distinguish cases in which he would or would not say "there is a man who acts virtuously." And to say "a man who acts virtuously" is "a man who acts virtuously" isn't very helpful: it is a pseudo explanation.

The phrase "a man who does unto others as he would have them do unto him," by contrast, enables one to distinguish instances of morally good men from instances of men who are not morally good. One can ask "Would he want me to do that to him?" and answer either "Probably" or "probably not." But if one asked "Is he acting virtuously?" one can answer "Well, it depends on how you want to use that phrase." But that's where we came in.

Explanation i presents still a different case, but a case of a sentence which looks like an explanation, but isn't. It comes,of course, from Robert Frost's poem, "The Death of the Hired Man." Here again it is useful to ask the question "Why would one want to make such a statement? The answer is clear when you put the sentence back in context. This is a statement one would make in an argument. One might label statements which work like this one "persuasive explanations" or "persuasive pseudo explanations." What happens in them is that the speaker includes in his explanation of a word the point he wants to make in his argument. Here the wife makes the point that she and her husband should take the dying hired man back in; she does it by saying "home is where they have to take him back and this is his home." If one accepts such a statement as an appropriate explanation, he gives up the argument. These logical implications of this kind of statement are of less immediate interest to us, however, than the semantic implications, what such explanations can show us about the nature of meaning. And the main point of this sort is that phrasal explanations have to be tested against sentences in which the word is used outside of the context of an argument; so tested the strangeness in inappropriate phrasal explanations is accentuated and identifiable. One can then say "But that is not part of the rules for using that word in any sentences I can imagine." Thus this kind of pseudo explanation prepares somewhat for later sections of the unit which show that meaning is not a private but a public convention.

It might be useful at this point to back up and contrast explanations d and i and introduce the concept of "stipulative definition." Explanation d might well have occurred in an essay on the nature of meaning. It can be paraphrased as "In this exposition of meaning, I use the phrase 'semantics of a word' like one would use the phrase 'conventions for the use of the word.'" There is a need for this kind of explanation because phrases like "semantics of a word" do not have the kind of restricted public conventions for their use that a phrase like "dinner table" has. The result is that they may be used by different speakers in quite different ways without apparently violating any conventions. A second reason for such a stipulation lies in the technical use of the phrase, assuming that it did occur in an exposition of the nature of meaning. The stipulation thus is supposed to say that the phrase is going to be more tightly controlled in the present context than it is in general usage. Thus there are two reasons for using a stipulative definition. The persuasive definition appears to be a stipulative definition, but with this difference: the purpose of using a persuasive definition is neither to avoid confusions in a loose popular use of a word nor to clarify a treatment of a subject; it is rather to make the point of an argument. Thus the importance of the question "Why would one want to make this explanation?"

Explanation j is interesting in something of the same way as explanation i is. Again the conventions for using the explanatory phrase are not like the conventions for using the explained word. It seems strange to say "he was wet as far as the skin," probably because when we use the phrase "as far as" in relation to distance and direction normally, we can add "but not farther." But here the addition makes no sense. And again it is helpful to ask "Why would one want to make this "explanation"? It happens that the explanation occurs in a standard desk dictionary, i.e., a context in which nearly every defined use of every defined word is explained either by a synonym or by a phrasal explanation. This context suggests why one might want to make this explanation. One would want to make it if he were writing a dictionary, if he assumed that every word could be explained by a phrasal explanation, and if he couldn't come up with a more appropriate one than this. This seems to be another case of an assumption about How words Mean leading into confusion. And to avoid a similar kind of confusion on the part of the students one can use this explanation to make the point that many uses of words may not have phrasal explanations.

This point is made again in the last two parts of this exercise (ix and x). Before assigning ix, you may have to remind the students to put the words to be explained in sentences before trying to explain them. As Professor Perrin pointed out, "It is not very profitable to consider the meaning of isolated words."

Exercise 21: Verbal Explanations Which Describe the Context in Which a Word is Conventionally Used

Part I: Kinds

This first part of the exercise seeks only to distinguish some of the kinds of contexts one might refer to in explaining the use of a word. The first set of explanations refer to the grammatical context, answering the question "What positions in the sentence is this word conventionally used in?" The second set refer to the other words which frequently are used with the word being defined, answering the question "What words or phrases does it pattern with?"; one might term this a "semantic context." The third set make context mean something like dialect situation, illustrating geographical, social, and historical contexts or dialect situations. The fourth set, which make context mean something like "physical surroundings," might be termed a "real context." They in effect say "one uses the word in cases like this one" and then describe a particular situation; explanations of this sort are very useful, but sometimes (as we see in part II of this exercise) misleading. The fourth kind of context explanation is the only one represented in part II of this exercise.

Part II: Uses and Limitations

(You may find it fruitful to consider the first three kinds of context explanations in the same way as the fourth kind are considered in the exercises contained in the student manual, adding particularly exercises which suggest the kinds of words for which the different kinds of context explanations are or are not helpful. The exercises given in the student packet, however, consider the uses and limitations of only real context explanations.)

The nature of context explantions is clear enough in explanations a, b, and c in this exercise, but it may not be in explanations d and e. In explanation d, we have the sort of special use which frequently arises in professional (or other) jargon. One might paraphrase this explanation as "Assume now that someone becomes eligible for our services. Then for seven years we systematically seek to notify him of his eligibility, but we cannot locate him. We therefore transfer his records from the active file to the inactive file and cease to try to notify him of his eligibility. And we then speak of his case as being 'dead.'"

Similarly, with explanation e one may need to parapharse. Here is one paraphrase which might work: "We use 'self indulgence' to characterize actions which are like most of Jake Barnes's actions." One might raise the question "How is this different from the explanation 'You know what a 'Coke' is? Well, that's what a "cold drink" is'?"? This explanation of "cold drink" is an explanation of example 3 (naming a pictureable instance). Why isn't Jake Barnes the name of a pictureable instance of self indulgence in the same way? Someone might say "Think of Jake Barnes eating his 37th hamburger at one meal and you'll have a pictureable instance of self indulgence." But of this one might ask, "so how does the picture show it is the 37th hamburger?" Further, anytime you take a picture of a "Coke" you are taking a picture of a cold drink; but not all of Jake Barnes' actions can be pictureable instances of self-indulgence, although some of his most notable actions may be self indulgent. Thus this is another instance where a superficial grammatical similarity may lead students to treat this explanation as if it were semantically similar to explanations by examples.

Exercise 22: Verbal Explanations Which Specify Criteria: Use and Abuse.

Explanations such as these are what we often have in mind when we speak of definition. They are in effect a list of those characteristics which are frequently present in part or altogether when the explained word is appropriately used. Thus we might say "'House' means a building in which a family lives." If, in ordinary circumstances, we came across an object which was:

H1 a building
H2 a place to live in
H3 a place for a family to live in

we would call it a house. What are the characteristics for "sulking"? They are these:

S1 he wouldn't engage in the activity at hand
S2 he kept to himself
S3 he was slothful and didn't do anything
S4 he resented the way he was treated.

And, if someone should behave in such a way that S1 - S4 were true of him, then, in ordinary circumstances, we would say he is sulky. A current dictionary, to cite another example, provides this explanation for the word 'blackmail':

> 'Blackmail' means payment extorted to prevent disclosure of information that could bring disgrace.

Here we have those characteristics which, on the whole, distinguish acts called blackmail from other acts. We can list these characteristics in this way:

B1 payment extorted
B2 done to prevent disclosure of information
B3 done to prevent disclosure of information which could bring some kind of disgrace

If, in ordinary circumstances, we came across an act which had these three characteristics, then we would call it a case of blackmail.

Characteristics which if present in a thing justify our calling the thing "X" are called criteria for the word "X." Thus H1 - H3 are criteria for the word "house." B1 - B3 are criteria for the word "blackmail," and S1 - S4 are criteria for the word "sulky."

The explanations given for the words "sulky," "blackmail," and "house" illustrate the nature of criteria and their use in explanations of the use of a word. Before we examine the kinds of criteria, it is important to notice that there is something fishy about these illustrations: they are illustrations of criteria explanations, but they are atypical examples of such explanations. Consider first the implications of the fact that they are illustrations of criteria explanations. They show how we use criteria; we use criteria in explanation situations, we use criteria to explain (not describe or exemplify, but explain) how we use a word. Let us say, for example, that I am going to take a book out of the public library. I take it from the shelf, fill out the card, take it to the librarian and say "I'd like to take out this--" At this point, before finishing the sentence, would I run through the list of criteria for the word "book" to see if I could use that word? Hardly. That is, when we list the criteria for the use of a word we are not describing or exemplifying what we do when we use words like "book," "house," "blackmail," and "sulky" in ordinary circumstances. We use criteria in explanations of the uses of words, not usually in using words, because in most uses of words the question of the appropriateness of the word does not arise.

Consider second the fact that our illustrations are atypical examples of criteria explanations. When normally would one find criteria explanations useful? Generally in those unusual instances when one wants to determine whether or not a word can be appropriately used. In the zoo, for example, one might wonder which of the two wild asses he was looking at was the onager and which was the kiang. To determine, he might recall that the onager is smaller and lighter in color than the kiang. Similarly, a botanist or entomologist might use criteria to decide what to label a rare specimen he gathered on a field trip. Criteria explanations are as useful and necessary in law as in natural science; the statutes must again and again list the criteria for their key words to enable judges and juries to determine whether this or that specific case is covered by the statute.

Our students, of course, do not often use either scientific or legal explanations yet, although someday they will. They do use the criteria explanations of others in many dictionary definitions, however, and they should be encouraged to use their own criteria explanations in two other situations. First in discussion or argument. In this situation they should learn to say "Well, let us be clear and in agreement about how we use the word "protestant" (or "communist" or "jerk" or "noun"); I suggest we use it for cases in which X, Y, and Z are present." This will not only enable the disputants to arrive earlier at basic differences, but often will also end the dispute. The second situation in which our students should be encouraged to use criteria explanations is when writing, whether in notebooks or in essays. Here the criteria explanation not only clarifies for the reader but even eliminates a good deal of confusion for the writer himself, particularly eliminating such confusion as equivocation.

In short, it is important to recognize that criteria explanations, are explanations--a way of talking about words, useful (generally) only when one must seek to discover, clarify, or restrict the use of a word. Or, to make the point negatively, we do not use criteria in most of our language usage.

Now look more closely at the kinds of criteria. As one would expect, the relation of word to criteria varies. Sometimes, we cannot explain words in terms of criteria at all; sometimes words have a clearly defined and constant set of criteria, sometimes they have two or three or more, many more, unrelated sets of criteria, and sometimes they have gradually shifting and different sets of criteria. There are, that is, at least four different relationships between words and criteria. Consider them more closely. First, words with no criteria. These words are sometimes called "indefinable" because one cannot make criteria explanations for them. Words which refer to the feelings we have are words of this kind, words like "itch" and "pain." Words which name the colors we see and the sounds we hear--e.g., "red" and "loud"--provide additional examples. One cannot list qualities which justify using "itch" or "green." There are no criteria for such words.

Second, terms with a clearly defined and constant set of criteria. Every time such words are used, one can explain the use by citing a single list of qualities. Such words, in other words, have only one use. The traditional exercises of finding "the meaning" for a word thus has some justification. There are a few words for which it would seem to work. But it is important to see what words it would work for. It would work for technical terms like "aesch" or "vocoid" and a few other kinds of words. But clearly such words make up but a small part of our vocabulary. Most words, that is, do not have a clearly defined and constant set of criteria, but a few do.

Third, words used with very different sets of criteria. For example, consider the word 'bank.' We call a slope of ground bordering on a river or a body of water a bank, and we call an establishment for the transmission and savings of money a bank. Here, as we can see, the word 'bank' used to refer to a thing with the characteristics mentioned in 'a slope of ground bordering on a river or a body of water' has a different meaning from the word 'bank' used to refer to a thing with the characteristics mentioned in 'an establishment for the transmission and savings of money.' The word 'bank' thus has at least two meanings.

There are some words which are used in many different ways, so that they have not just two different meanings but a number of different meanings. In fact, for some words, the uses are so varied that it is difficult to provide a standard criteria explanation, since to do so presupposes some degree of general public agreement. For example, the words 'conservative' and 'liberal' as they are used in the context of politics have a number of different meanings. Here is a partial list of some of them.

conservative	liberal
one who opposes the views of the ADA and similar groups	one who supports the views of the ADA and similar groups
one who opposes the increase of federal power and federal spending	one who wants federal power and spending to increase
one who is interested in both the material and spiritual needs of men	an educated and morally sensitive individual
one who wishes to maintain the status quo	one who advocates any measure which leads to socialism
what I approve of	what I approve of
what I disapprove of	what I disapprove of

Fourth, words for which there are gradually shifting but related sets of criteria. For the things referred to by many of our everyday words, we could list the criteria which distingusih them from other things, for example, for a magazine. The criteria are, more or less, these: it is a paper-covered periodical; it contains various articles covering different subjects by different authors; it is about 8 by 10 inches in size. If we came across another publication which had these characteristics, we would call it a magazine. Sometimes, however, we will find that not all the criteria are present in all cases where we would use the word. For example, there are magazines which lack, say a paper cover, or which do not come out periodically, or which are written by one person, etc. That is, we often use the same word for cases which are similar, but which do not share all of a single list of criteria. The different cases thus may share some or most of the criteria but not all. This can be represented schematically by letting X stand for a typical word, P stand for one case, S for similar cases, and C for criteria:

X

(1) S	(2) P	(3) S
C1, C2, C3, C5	C1, C2, C3, C4	C2, C3, C4, C6

The first and third thing are called X because they are similar to the second. But both (1) and (3) lack one criteria of (2). The dissimilarity between (1) and (3) is much greater than that between (1) and (2) and between (2) and (3). Let us consider an example of this. Time is a clear-cut example of a thing called a magazine. But there are periodicals which are hard-bound, which carry various articles, and which have no advertising which we call magazines, e.g. Horizon. And small periodicals with soft covers which contain nothing more than TV listings and advertisements, and which are found in Sunday papers, are called magazines. The similarity between these two and Time is greater than their similarity to each other.

For some words the similar cases near the ends of the spectrum of uses might differ so radically from each other that there are no similar criteria (this comes near to being true in the last example). We can represent this possibility in this somewhat elaborate scheme:

X

(1) S	(2) S	(3) P	(4) P	(5) S	(6) S
C1,C6,C7	C1,C2,C6	C1,C2,C4	C2,C3,C5	C2,C5,C8	C5,C8,C9

Even though the criteria of (1) are altogether different from those of (6) we would not speak of 'X' having two different meanings here when the word is used to refer to (1) and when it is used to refer to (6). That is, it would not have two different meanings in the sense in which 'bank' and 'definition' have different meanings in the ways pointed out earlier. The difference is that there is no striking resemblance of any sort between 'bank' used to refer to a slope of ground and 'bank' used to refer to an establishment to transmit money, whereas there is an indirect resemblance of a particular sort between (1) and (6). They both resemble other things which are related to a single thing. As we might say, (1) and (6) fall into the same family in a way which slopes of ground and establishments for transmitting money do not. Two children in a large family might not resemble each other too closely, but nevertheless we see that they do fall into the same family because of their resemblances to the other members of the family, particularly the mother and father.

Criteria explanations thus are rather more complex than one might suppose. Most words, contrary to popular assumption, are not used with a single constant set of criteria. Some have no criteria, some have different unrelated sets of criteria, some have different related sets of criteria. And, to make the matter still more complex, some uses of a word may require different unrelated sets of criteria while other uses of the same word require different related sets of criteria. The relationship of word to criteria again demonstrates that no single example and no single kind of explanation can represent how words mean.

We have considered the nature, uses, and kinds of criteria explanation. Before examining the exercises in the student packet, we should look at how one can best arrive at the criteria in a criteria explanation. One might feel that the criteria arise from an examination of all cases in which a word is used. He might say we look at all cases of "bank" or "blackmail" or "conservative", find out what is common to them all, and list these common features as the criteria. But we have seen that "bank" is used with at least two completely different sets of criteria, "blackmail" is used with gradually shifting criteria (e.g., cf., "The court twice convicted him of blackmail." and these opening remarks of an after dinner speaker: "Thank you, Mr. Jones, for that very flattering introduction. I wasn't sure who you were introducing. But since it was me, I am sure that you left something out. Perhaps you intend to use it to blackmail me some day. But I'm going to confess. I am also an English teacher."), and "conservative" is used with constantly and dramatically shifting criteria. For words like these (and they comprise most of our words) we clearly could not hope to arrive at what was common to all cases because there often is nothing common to all cases. How then can we arrive at criteria?

The clearest, most fruitful, and most frequent way is really much more simple than one might expect. First one considers a case in which he would normally use the word as a matter of course, a single, clear cut example--called a paradigm example. Then one lists the qualities which characterize that example. These are the criteria for using the word.

The value of something so simple as this may easily be underestimated. We have seen several uses of criteria explanations already, but the concept of the paradignm example introduces one more use, and a more important one. Recall that we acquire most of our words in particular situations. Those words for which one can list criteria are thus likely to be acquired in connection with paradigm examples--clear cut cases in which the word was used. Recall too that a single word may have very different uses. Thus arises a frequent sort of confusion: thinking of different cases as if they were alike. For example, consider the way we often think about "definition." Very, very often we have tended to assume that all definitions were criteria definitions which listed only a single set of criteria. Thus if we were to give an example of a definition, we would likely construct a criteria explanation like those we used for "house," "blackmail," and "sulky." But such an explanation is inadequate for most words because most words have several sets of criteria or shifting sets of criteria. Now we can see still more of what was fishy about the illustrations we cited for criteria explanations. They treated "sulky," "blackmail," and "house" as if they were like "vocoid" or "aesch," that is, as if they had a single, constant set of criteria. We were using as a paradigm example of "definition" a case which was very different from most cases. When we make the paradigm explicit, when we cite an example and ask if this is like the case to which we want to apply the word in question, we can see that the example is not like the case to which we want to apply the word. It is precisely this confusion which led teachers for so long to send students looking for "the meaning." By citing a paradigm example and comparing it closely with other instances in which the word "definition" might also be used, however, they might have discovered their own confusion, they might have seen that not all words are words for which it is sufficient to cite a single list of criteria. And this is the last and most important use of criteria definitions based on paradigm examples--to enable oneself or others to be sure that he is not thinking of very different cases as if they were alike.

So much by way of background and resource material for additional exercises, if needed. The exercise given in the student packet is much less ambitious than the preceding explanation. It seeks only to show the student how to put such explanations together, what they do, how they go wrong, and when you can't use them. Again, explanations *a*, *b*, and *c* are intended as examples which work; explanations *d* and *e* are intended as examples which work for someone with technical knowledge but which are not completely satisfactory for eighth graders, and *f*, *g*, and *h* are intended as examples of criteria explanations which don't work. The contrast between *a*, *b*, and *c*, and explanations *d* and *e* may not be as sharp as it needs to be. One may find it helpful to contrast the ways in which explanations *d* and *e* are and are not helpful to eighth graders. And one will find it helpful to discuss the different reasons why the last three explanations do not work. Explanation *f* doesn't work because it does not include in its criteria items which are public conventions; that is, this is another persuasive explanation. Since this is a not infrequent form of pseudo criteria explanations, an additional word or two is in order.

As we grow up we find that certain words are used to approve of things and other words are used to disapprove of things. Generally the language learner adopts similar attitudes. Thus it is true in our society that most or many people approve of the things which they believe are covered by such words and phrases as 'democratic,' 'freedom,' 'justice,' 'art,' 'realist,' 'Christian,' 'the American way,' 'moderate,' 'constitutional,' 'education,' 'patriot,' and 'open minded.' In turn we disapprove of those things which we believe are included in the class of 'communistic,' 'radical,' 'reactionary,' 'greedy,' 'lustful,' 'do-gooder,' 'bureaucrat,' 'atheist,' 'aggressor,' 'imperialist,' 'fascist,' 'prejudice,' and 'fanatic.'

It is a fact which is sometimes overlooked that these words are used in many different ways. For example, people who approve of governments which are called democratic tend to call their government democratic--or they tend to call what they think or wish their government to be democratic. Thus radically different governments are called democratic, and people within a country use the word in different ways. And if we ask what is meant by 'democratic' we find different answers, such as: a government in which political power rests ultimately with the majority; a government in which the leaders are elected by popular vote; a government in which the citizens are left to do what they want to do and in which they choose those whom they want to lead them; a government which acts in the way the people would act if they had proper knowledge of current events, human nature, and history. The word 'radical,' to consider another example, is often used in connection with political views which find disfavor among the organized majority political parties. A wide range of different views and different kinds of men are called radicals. In looking for the distinguishing characteristics of the people or views which are called radical we find such explanations as: someone who advocates actions which have not been done in the last hundred years; a socialist, communist or fascist (in the U.S.); a Stalinist or Chinese Communist (in the U.S.S.R.); someone who holds ideas which differ from what most hold; someone who deviates from accepted ideas. The reader can run through for himself some of the different kinds of things which are referred to by each of the words in the above two lists and the various explanations which people will have and give for what each word means or what they mean by the word.

The fact that these words are used in so many ways prevents one's giving the usual kind of dictionary definition--i.e., reporting the characteristics of the paradigm examples which people generally have in mind. Rather, in the case of these words, dictionaries usually report the way some particular group uses the word. For example, they might record the common way or ways in which the word 'democracy' is used in political science textbooks.

When someone makes a statement about the "true meaning" of such words or about the "real definition" of such words (as if the word were used in only one way) in order to influence people's views or to get people to act in certain ways, he is said to be giving a persuasive explanation. For example, imagine someone writing this in an essay addressed to people who disapprove of religion: "The real meaning of 'religion' is anything which provides a spiritual serenity so that an individual can get through the perplexities and dangers of daily life." And imagine that he goes on to argue that fighting injustices in the world provides such a serenity for many. He says this in order to persuade these people to disapprove of their own efforts and the efforts of others to fight injustices. As we can see, the "real meaning" of 'religion' has not been given. In fact this word is used in a number of ways, and if this is one of its uses, it is indeed rare. However, if those to whom these remarks are addressed make the mistake of thinking that this is the definition of 'religion' then the writer would have in all likelihood achieved his goal. For since those in his audience disapprove of religion, they would not disapprove of fighting against injustices (or they would have to alter a fundamental attitude). Or, to consider a second example, imagine someone addressing a group of people who all approve of education and saying: "Education in the true sense of the word is stirring up students so that they will be driven to think for themselves." He says this, let us imagine, in order to get them to approve of his teaching methods (which consist primarily in an effort to stir up students). Here again we have a person taking a word which evokes approval and has a number of meanings, and giving it one meaning which he represents as its real meaning--all in order to persuade and influence.

Are persuasive explanations harmful? To be deluded is or can be harmful, and often persuasive explanations lead to people's being deluded. For example, one might believe he, unlike most people, now knows the real meaning of 'education' or 'religion' when there is no such meaning to know. Or someone who accepts a persuasive explanation might, as a consequence, approve of some activity, place, case, etc. which he, if he examined the matter, might not approve of. Finally, as a last example, someone who is taken in by the persuasive explanation: "Charity isn't giving gold to others but is really understanding others." might delude himself into thinking he is charitable in hoarding his money while there are those in need whom he can help.

(Exercise 22a provides an opportunity to do more with persuasive explanations than does exercise 22. It is an optional exercise, though, permitting an exploration of an interesting aspect of criteria definition and useful at least negatively in defining them. But it does not lead directly to the main points of this unit and may be omitted with less loss than any other exercise in the packet.)

Explanation g in exercise 22 is an instance of a pseudo explanation, too, but not a persuasive explanation. In this instance, the word is one of those for which there are no criteria; so is "the" in explanation h. Here the student should particularly be encouraged to ask these questions: under what circumstances might one ask for the criteria of this word? when would I want to say is this a 'the' or not? when would this explanation permit one to answer the question "Is this a 'the'?"

The remaining portions of exercise 22 and exercise 22a, and exercise 23 need no further explanation here. The last exercise of this section of the unit--exercise 24--however, does need a word of explanation. The three composition assignments which end the study of How and Where we Learn and Teach Words are all fairly long assignments; they are structured, the first being the easiest, the last the hardest, so that if taken in sequence, they will be less difficult for the students, yet none are easy exercises. But in some cases you may use the three assignments for students of different abilities, assigning only the third to the bright students and only the first to the slower students.

Section D: How Do We Know We Know the Meaning of a Word?

This fourth section of the unit makes a point which is simple, yet somehow very difficult to hold to. It is that there is no such thing as "the meaning." When we examine how we know we know a word, we find either that we can use it without uneasiness or that we can explain the use of it or we can do both. But we do not check to see if we have "the meaning" filed upstairs somewhere. And when we talk about a "table" we don't always have to "remember" that it is called a "table." Similarly, when we examine how we know we don't know a word, we find that we know because we cannot use it, or we cannot use it without uneasiness, or we cannot use it without eliciting strange responses, or we cannot explain it--or any combination of these. But at no time do we check a mental file of meanings or concepts or ideas to find that the meaning card for the word is missing.

Exercise 25: How We Know We Know or Don't Know the Meaning of a Word.

This exercise takes the student back to his own experience with words as opposed to his observation of the experience of others, which the next exercise covers. In parts i and ii of this exercise you may need to reassure the students that it doesn't matter if they use some of the words incorrectly: this is not a vocabulary quiz. For the last word, you may ultimately have to supply an English translation, "profoundly" or "deeply," before they get too frustrated at looking in an English dictionary for a French word.

The students should have no difficulty with parts iii through viii of this exercise, but part ix may give them pause. One way of approaching it would be to describe a situation in which one might say "I thought I knew that word but I guess I didn't." In such a situation one might misunderstand someone else who used a word, elicit an unexpected response by using the word, or think (and learn otherwise later) that someone was using a word strangely. The reasons why this might happen go back to the reasons why different kinds of learning and teaching of words go wrong. It may be, for instance, that one learned a word by example--and took an object (daisy) for a color (white). Or that one learned by exposure and mistook a single use (a man who pays for ladies' meals) for all uses (gentleman). Or that one learned by synonym or equivalent phrase and failed to consider the differences in the conventions for using the two words (e.g., calling Thoreau a "troglodyte"). It would be well to dwell on this for two reasons: first, to review the preceding section; second, to encourage the students to recognize that such errors are a normal consequence of the ways in which we learn words, and thus to encourage them to risk such errors more readily, to use new words more frequently with the intention not of pretending to know them but rather of becoming more familiar with the conventions for their use.

Exercise 26: How We Know that Others Do or Don't Know the Meaning of a Word

If even after exercise 25 some students are inclined to postulate some mental entity or concept as "the meaning," this exercise should make it clear that there is something unrealistic about this postulation. One determines that other people do or do not know the meaning of a word, and in doing this there is clearly no possibility of checking their mental file. Instead we tell by strange responses (ia, ib), or by the uneasiness or embarrassment of the user (ic), or by the inappropriateness of the use (ic, id) or by the inappropriateness of the use and the inability of the speaker to give a satisfactory explanation (ie), or by the various combinations of these signals. Situation ie is a particularly fertile one for us, since we are often afflicted by students who feel (say) "I can always do well in English because you don't have to know anything to write book reports--you just have to sling the bull; but in history and math you have to know something." That is, here you can let the students know that we know about snow jobs, too. And that anyone who reflects carefully on a piece of writing can tell the difference between the writing which superficially seems impressive (big word writing) and writing which is impressively meaningful. While we may never be able to convince students that we can tell the difference, we should at least make them sufficiently aware of the difference so that they deliberately choose to snow if they do it at all, so that they aren't fooling themselves when they start slinging big words for the sake of impressing, so they at least know when they're huffing and puffing. In discussing this one can point out both that we use words according to public conventions (a point developed by a later exercise), and that if one disregards these conventions by using words only to be impressive he may very well make himself ridiculous.

This point is made more clearly in part iv of this exercise, the passage from Mrs. Malaprop. The words here which the student should question are "progeny" (misused for "prodigy"), "simony, fluxions, or paradoxes" (perhaps for signs, functions, and parabolas or some such phrase from math, or perhaps this is not a substitution but simply a series of huffing and puffing sounds), "inflammatory" (perhaps substituted for "esoteric" or "inspiring," but probably an intentional and conventional use: Mrs. Malaprop is so dumb she thinks that such studies as Greek and Hebrew are sexy), "diabolical" (another huffing and puffing sound, apparently, used because it sounds like "mathematical" and "astronomical"), "ingenuity and artifice" (for "ingenuousness" and "artistry"?) "supercilious" (for "superficial"), "geometry" (for "geography"), "contagious" (for "contiguous"), "orthodoxy" (for "orthography"), "reprehend" (for "apprehend") and "superstitious" (for "superfluous"). As preparation for this exercise you may have to point out to the students which words seem to be used only as huffing and puffing words and which seem to be substituted for words which would conventionally be used in this context. And since even the words appropriate to the contexts are often twenty dollar words, before they begin this exercise you may have to give the students the list of words Mrs. Malaprop should have used and ask them to check the dictionary for directions on how one can use these words.

In the class discussion it might be fruitful first to have the class blot out the inappropriately substituted words, leaving blanks for them. As they do this one might raise the question of how they know which are the inappropriately used words: what is it that is strange about (we'll say) "reprehend" here? why doesn't it make sense? The answer ultimately should be like "People don't normally speak of reprehending meanings; they reprehend people or animals or things."

Two implications of the answers can be usefully unfolded. First an extension of an earlier point, words pattern with certain other words: meaning is a matter of the use of a word in context. "Apprehend" not "reprehend" is meaningful in this context, i.e., when we speak of meaning. Second, an anticipation of the final point of this unit, words are used according to public conventions: a word is normally meaningful when it is used as (or with reference to ways) it has previously been used, although there are instances of coinages, or first uses. The terms "public convention" and "private convention" are best left unuttered at this point, but that one's use of a word depends upon the use others generally give it can be suggested without using these terms.

One might then ask the students to fill in the blanks they created by crossing out the substituted words. In doing so they might consider the still more interesting question--how do they determine the word Mrs. Malaprop should have used for those blanks? Of course, sound plays a large part here; Mrs. Malaprop often confuses sound alikes. But sound is only part of the answer. The students look not just for a word which sounds like "reprehend," but for a word which sounds like "reprehend" and--according to generally used conventions might occur in the given context. The stress here should again be on the public nature of these conventions, which plays a large part in our final answer to the question "What is the Nature of Meaning?", but again the phrases "public convention" and "private convention" are still best unuttered.

Part v of exercise 26 is analogous to part ix of exercise 25. Again the students have a situation in which one might say "I thought I knew the meaning of that word, but I guess I didn't." Here of course they are observing someone else in that situation instead of imagining themselves in the situation. Thus you should lead the students to distinguish between how they knew the author had misunderstood "arrest" and how the author himself knew he had misunderstood that word. There is more to be done in this letter, though, since the writer also uses other words in un-English ways, and the students should both recognize these instances of strange usage and attempt to explain how they recognized them. Again the point is that meaning is a matter of conventions of use--that recognizing that someone else doesn't know the meaning of a word is a matter of seeing that he used it inappropriately, either with reference to the syntax of the sentence or with reference to the kind of thing he is talking about. Much of the strangeness here, of course, is purely syntactic.

The arresting officer's rebuttal is another opportunity to make the point that words (and phrases) mean by public convention. The students may well be skeptical of the honesty and truth of the rebuttal, but they should be led to wonder why they are so skeptical. The answer of course is that usually when it is addressed to an immigrant "go back to where you came from" means "return to your native land": again we have public conventions wrenched.

Section E: Where Not to Look for the Meaning of a Word

This section begins the end of the unit by indicating negative conclusions. The introductory fable suggests one cannot use a word like "apple" to represent how words mean generally. Exercise 29 again makes the point that there is no one true meaning of a word, and should be a perfectly obvious exercise for the students by this time. Part v of the exercise, though, asks a nonsense question without hinting that it is such, and a few students may be put off by that.

Exercise 30^{+} suggests a word's meaning is not an object for which it stands. The phrase "object for which it stands" has two common uses in discussions of meaning, both of which are illustrated by the diagram of meaning reproduced on p. 8. One use of the phrase is to suggest a word stands for or represents a thing or event in the real world as "apple" can be said to stand for the thing apple. But, as we have seen several times, most words do not. A second use for the phrase "object for which it stands" is to suggest that a word stands for or represents a concept or idea--a mental thing. But again, as we have seen several times in several ways, we have no need of that hypothesis; further it doesn't fit the facts of our experience. Parts i and ii of exercise 30 attempt to suggest how it is that we might be misled into thinking that there must indeed be a mental entity or thing which a word stands for: it may come simply from a "grammatical confusion." The peculiar sort of grammatical confusion which is pointed to here is that which arises from failing to see that questions which are superficially similar may be in fact quite different, as different as sense and nonsense. Thus in part i of exercise 30, the first four in the list of "What is" questions make sense but the last four probably don't. One way of demonstrating this is to ask the students to construct criteria and context explanations of all of the underlined phrases in the questions. Of the first four they can construct such explanations; for the last four, they'll have trouble doing so meaningfully. Notice that if the students were allowed to substitute synonym or equivalent phrase explanations--they probably could,--substituting nonsense, e.g., "the soul of the dog is his dogness or essence."

Superficially all of the questions in part i look alike, so that one might easily regard them with equal seriousness, and spend years looking for answers for unanswerable nonsense questions. Something like that, part ii suggests, is what has happened in conventional attempts to answer the question "What is the meaning of words in general?" But questions 30 iia, b, c, and d seek to test such an attempt against the students's own experience with language, to demonstrate again that the conventional answer fails to account for our experience with language.

Exercise 31^{++} continues this at a more sophisticated level, seeking to get the student to use his perceptions about the nature of meaning in understanding and criticizing what he hears and reads.

Exercise 32 is primarily a summary exercise, but it has other functions too. Paraphrase a, "Words are meaningless" is a paraphrase which some students are likely to choose, whether from belligerence or bewilderment. It is thus included to permit you to proscribe it and to accentuate its opposite, to stress that one primary concern of the unit is to enable students to use words more meaningfully: to recognize that meaning is not a thing and to recognize that there is usually not one true meaning of a word is a step toward understanding the tools of language, a step toward using language more meaningfully. Paraphrase b should be immediately recognized by most of the students as an acceptable paraphrase. So, too paraphrase c. This paraphrase looks forward to a composition assignment in exercise 35, the last exercise in the unit. Paraphrase d is ambiguous, and if the students have been properly whetted by the preceding exercises they should recognize that it can be equated with either a (in which case it is not acceptable) or with b (in which case it is).

Exercise 33 draws another negative conclusion, that the meaning of a word is not a private convention. The phrase "private convention" is introduced here, but still may not be readily intelligible. It should be dwelt on a bit, for it is extremely important: it is supposed to imply here that a word's meaning is a matter of public convention. One might approach this by an analogy, citing such public conventions as driving on the right side of the street in the United States (or the left in England), stopping on the red light, crossing the street in the cross walks, etc. And you might define private conventions for each of these--driving on the left side, going on red, jaywalking--and suggest what happens when one substitutes private conventions where other people use public conventions and where other people are involved.

The exercise is largely self explanatory down to parts iv e and f. It is important that the student not confuse private and stipulative definitions. Most non-persuasive stipulative definitions are not a substitution of a private convention for a public convention. They are instead likely to be a choice from among public conventions or an assertion of criteria for words commonly used without reference to criteria. The need for stipulative definitions goes back to what the student discovered in examining criteria definitions: words have sets of criteria usually, not a single set, and these sets may or may not be related. The writer sometimes must indicate the set he is using: he is not usually making up a set in the way that Humpty Dumpty, for example, does. And this distinction is important if the student is to learn to use definitions properly in his own writing and reading.

Parts v and vi of exercise 33 should give no trouble.

IIIA: Conclusions

Here the student finds an essay. It seeks to make a positive statement about the nature of meaning, after summarizing the substance of the conclusions of this unit. It does not seek to go beyond what you have probably read, assumed, or concluded in reading this packet. You might glance through it, though, to prepare to explain any obscurities which remain in it.

IIIB: Composition Assignments

The composition exercises this time are perhaps more numerous than any one student can or should do. Thus you may assign some of them to all students or all of them to some students, etc. But perhaps the first group of quotations (35ai, ii, iii) can usefully be presented to all of the students. They are all instances of nonsense published in textbooks for college English courses, and if properly encouraged, the students might not only enjoy perceiving confusion in the work of teachers but even develop a healthy critical eye for it.

IV. Background Information

It is ironical that English teachers have had to go to philosophers to find out about English. But such is the case. The background section of this unit might better be entitled "Readings in Philosophy," for the selections reproduced here all represent the work of a group of twentieth century British philosophers. These writers represent the main movement in modern British philosophy and often are the figures referred to by the phrase "modern British philosophy."

Often their work is called "analytical philosophy" or even "linguistic analysis," for they tend to proceed by scrutinizing individual expressions and analyzing particular sentences or words. Where one imagines that a philosopher would ask "What is time?" or "What is the meaning of life?" these men are more likely to ask "Is the form of these questions misleading us?" or "How do we use the word 'time' when we are not asking a philosopher's question?" Their interest in such questions is a philosopher's interest; many of the traditional questions of philosophy, they feel, arise not because of the insight of the questioner, but because the questioner is (as one of them says) "thinking of a use different from that which our ordinary language makes of words."[1] "Philosophy," as they use the word, is ". . . a fight against the fascination which forms of expression exert upon us."[2] By showing the different uses involved in key words in a philosopher's question, the analytic philosophers have often dissolved the question, shown it to be not a search for information, but a grammatical trap. And this has been very useful--for philosophers.

Our interest in their writings is somewhat different. We are not at the moment interested in philosophical questions per se. But in reflecting on the nature of language for the purpose of considering philosophical problems, the modern British philosophers have arrived at new insights about the nature of meaning. These are the basis of this unit. And it is these for which we now ask you to read philosophy. One professor of English at the University of Nebraska, who thought of philosophy as the pursuit of the good, the true, the beautiful and the other eternal verities, recently protested "How absurd! Philosophers talk about the language and English teachers talk philosophy!" Absurd or not, as conscientious teachers of language we have to read philosophy.

It is something of a chore at times, even a muddy one. It will be less so after you have read through your packet and the student packet; then perhaps the most effective way to proceed would be to skim all of the selections, and then reread each very carefully. If you begin with the careful reading, you may have an overwhelming temptation to quit after the first page; if you quit after skimming them, you might as well have quit after the first page.

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[1] Ludwig Wittgenstein, The Blue and Brown Books (Basil Blackwell, Oxford England: 1960), p. 56.

[2] Wittgenstein, op. cit., p. 27.

But if you get the general nature of what they say and how they say it, then seek to understand the selections in detail, the intention and method of this unit will be much clearer, and your presentation of the unit will be much more effective.